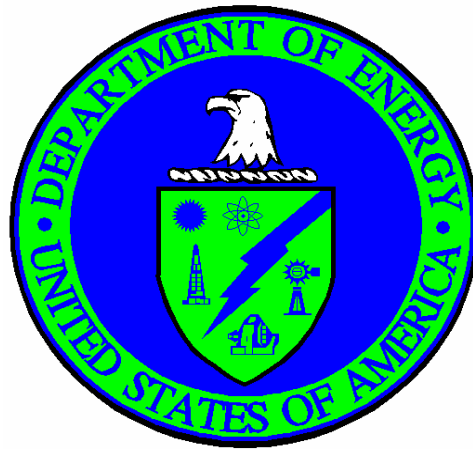


U. S. Department of Energy

Office of Environment, Safety and Health



Human Capital Management Plan

Report

September 2005

Executive Summary

The Office of Environment, Safety and Health (EH) is the Departmental advocate for excellence in programs to protect the environment, as well as the health and safety of workers at Department of Energy (DOE) facilities and the public. In addressing this mission, EH has developed and implemented a Human Capital Management (HCM) Plan to acquire, assign, employ, and manage a staff that is successful in attaining objectives, efficient in operations, optimal in organization, and effective in terms of cost. The Plan also addresses issues of equity, such as compensation levels, awards, and cultural and ethnic diversity.

Many strategies are used to inculcate the agency mission and the human-capital plan into the day-to-day operations of EH. These strategies include:

- Conducting staff briefings
- Tracking of current hiring actions
- Maintenance of a skill-gap spreadsheet
- Offering of executive-development training
- Application of knowledge-management principles
- Recruitment and employment of minority staff members
- Support of career-development activities
- Retraining of reassigned employees
- Conduct of periodic performance reviews
- Maintenance of individual development plans
- Inclusion of adequate resources for the analysis, restructuring, and training of the workforce in projected budgets

During FY 2005, EH's mission, budget, and HCM plan drove the day-to-day conduct of the Office. Some of the improvements realized in the operations of the Office include:

- Training and development funding needs were compiled into the Annual Training Report for FY 2005 needs
- Individual Development Plans were collected
- The Deputy Assistant Secretaries (DASs) briefed all potential candidates on certification programs and employee development programs
- All DASs were identified as accountability officials
- Positions were identified for restructuring, realignment, or reassignment based on identification of mission-critical needs
- A timeline for hiring Senior Executive Service (SES) positions was developed, based on the OPM 45-Day Hiring Model, and implemented and a 30-day model was adopted for non-SES positions
- A Hiring Action Tracking Checklist was developed and deployed to gather in one place, data about all recruiting actions
- The Skills Gap Matrix was distributed to all DASs, completed, and submitted to the Office of Management, Budget and Evaluation (ME)
- The Critical Skills Gap spreadsheet was updated quarterly
- Skill gaps were reduced through hiring, recertification, realignment, and reassignment

- Training has been identified for those with Project Management or Contract Management skill gaps, and staff has been enrolled in certification program courses for the first quarter of 2006
- The Employee and the DOE Executive Development plans were given to Senior Management for review and were promoted at senior staff meetings and through E-mail messages
- EH plans to target individuals at the GS-13 and 14 levels for the executive development program in 2006
- The Bench-Strength Report was submitted to ME, identifying areas in which executive development is needed
- A Knowledge Management Portal has been developed and implemented
- The development of the DOE Assessment Manual Knowledge Portal was initiated
- EH assisted the Federal Contractors Operating Group in converting their website into a knowledge portal
- A draft Hispanic Recruitment Program has been developed
- Three minority interns have been recruited (one African American, one Hispanic, and one Native American)
- Four students and four faculty (three females and five males, all African Americans) from Florida A&M University were funded to participate in the Day of Science at Oak Ridge National Laboratory
- Because of the transfer of the Worker Advocacy Program to the Department of Labor, eight former EH Worker Advocacy employees have been realigned, reassigned, or detailed elsewhere within DOE
- Restructuring of the EH organization to respond to DNFSB Rec. 2004-1 began
- Each office in EH has reviewed current jobs and tasks for competitive-sourcing opportunities
- EH restructured and reclassified positions based on retirements and forecasted workloads that have created a need for new skill mixes for some offices
- Positions eligible for buyout were identified and documented by EH management (Once approval is received from the Office of Management and Budget and the Office of Personnel Management, EH will offer a buyout to those positions that were targeted for buyout)
- Guidelines and training materials on the performance-appraisal processes, and procedures were developed, and training sessions in performance review and appraisal requirements and procedures were conducted for 21 EH supervisors
- The mid-year progress reviews were completed, and performance/progress issues were documented and discussed with employees
- EH supervisors ensured that employees in certification programs were progressing as expected
- The budget request for FY 2006 was submitted on February 1, 2005
- Strategies that were listed as a part of the HCM Plan and information from skill-gap analysis were used to formulate the Program Direction funding request for FY 2007

TABLE OF CONTENTS

Executive Summary	i
Acronym List	v
Chapter 1: Integration of Mission, Human Capital Management Plan, and Decision-Making Processes.....	1
Introduction	1
DOE Mission	1
EH Mission	1
Mission of Individual EH Offices.....	2
Use of the DOE Mission and Human Capital Management Plan in Decision-Making Processes	3
Accountability Officials.....	3
Scorecard Summary	4
Chapter 2: Workforce Hiring-Time Reduction Strategy	
Introduction	6
45-Day Hiring Model.....	6
Personnel Action Tracking System (SF-52)	6
Scorecard Summary	6
Chapter 3: Mission-Critical-Skills Gap-Reduction Plan	8
Introduction	8
Critical-Skill-Gap Identification	8
Recruitment Plan.....	8
Certification Needs Process	8
Competitive Sourcing	8
E-Government.....	9
Scorecard Summary	9
Chapter 4: Succession Plan Strategy Implementation	13
Introduction	13
Position Upgrades/Noncompetitive promotions.....	13
Employee Development Plan.....	13
Executive Development Program	13
Scorecard Summary	14
Chapter 5: Knowledge Management	15
Introduction	15
Knowledge Management Program Web Portal	15
Assessment Manual Knowledge Web Portal.....	16
Federal Contractors Operating Group Knowledge Portal.....	16
Web-Based Training Resources.....	16
EH Website	17
Scorecard Summary	19

Chapter 6:	Workforce and Workplace Diversity	21
	Introduction	21
	Scorecard Summary	21
Chapter 7:	Analysis and Optimization of Organizational Structure.....	23
	Introduction	23
	Technician Positions Restructuring Review	23
	EH Worker Advocacy Staff Redeployment, Realignment, and Reassignment	23
	Cost Saving Through the Use of Internal Organization Structures ...	23
	Scorecard Summary	23
Chapter 8:	Performance Appraisals	25
	Introduction	25
	Guidelines and Training Materials	25
	Supervisory Training	25
	Scorecard Summary	26
Chapter 9:	HCM Plan and Related EH Future Budgetary Needs	27
	Introduction	27
	Scorecard Summary	27
Chapter 10:	Conclusion.....	29

APPENDICES

Appendix A:	Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarter 1 Results Submission	30
Appendix B:	Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarter 2 Results Submission	46
Appendix C:	Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarter 3 Results Submission	56
Appendix D:	Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarter 4 Results Submission	66

Acronym List

AHE	Application Hosting Environment Services
ATR	Annual Training Report
CAIRS	Computerized Accident/Incident Reporting System
CATS	Correspondence and Action Tracking System
CEDR	Comprehensive Epidemiologic Data Resource
CHRIS	Corporate Human Resource Information System
CM	Certification Maintenance
CRADs	Criteria Review and Approach Documents
DASs	Deputy Assistant Secretaries
DHS	Department of Health and Human Services
DNFSB	Defense Nuclear Facilities Safety Board
DOE	Department of Energy
DOL	Department of Labor
EEOICPA	Energy Employees Occupational Illness Compensation Program Act of 2000
EFCOG	Federal Contractors Operating Group
EH	Office of Environment, Safety and Health
ES&H	Environment, Safety and Health
FTE	Full Time Employee
FY	Fiscal Year
GPRA	Government Performance Review Act
HCM	Human Capital Management
HQ	Headquarters
HR	Human Resources
IDP	Individual Development Plan
IH/OS SIG	Industrial Hygiene/Occupational Safety Special Interest Group
KM	Knowledge Management
ME	Office of Management, Budget and Evaluation
NTS	Noncompliance Tracking System
OMB	Office of Management and Budget
OPM	Office of Personnel Management
ORNL	Oak Ridge National Laboratory
ORPS	Occurrence Reporting and Processing System
P2	Pollution Prevention
PMA	President's Management Agenda
REMS	Radiation Exposure Monitoring System
RESL	Radiological and Environmental Sciences Laboratory
RIF	Reduction in Force
SDPP	Student Diversity Partnership Program
SES	Senior Executive Service
TSL	Technology Supported Learning
TLDP	Team Leader Development Program
VERA	Voluntary Early Retirement Authority
VSIP	Voluntary Separation Incentive Program

Chapter 1:

Integration of Mission, Human Capital Management Plan, and Decision- Making Processes

INTRODUCTION

DOE Mission

The Department of Energy's (DOE) mission is to advance the national economic and energy security of the United States: to promote scientific and technological innovation in support of that mission: and to ensure the environmental cleanup of the national nuclear weapons complex. The Department has four strategic goals toward achieving the mission:

- *Defense Strategic Goal:* To protect our national security by applying advanced science and nuclear technology to the Nation's defense
- *Energy Strategic Goal:* To protect our national and economic security by promoting a diverse supply and delivery of reliable, affordable, and environmentally sound energy
- *Science Strategic Goal:* To protect our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge
- *Environment Strategic Goal:* To protect the environment by providing a responsible resolution to the environmental legacy of the Cold War and by providing for the permanent disposal of the Nation's high-level radioactive waste

The Office of Environmental, Safety and Health's (EH) mission is to provide the corporate leadership, performance goals, assistance, policies, programs and feedback to enable DOE to excel in mission performance while achieving excellence in safety and environmental stewardship.

EH Mission

EH is the Departmental advocate for excellence in programs to protect the environment, as well as the health and safety of workers at DOE facilities and the public. The Office's central role as a Department-wide resource has been developed with the participation of a wide range of stakeholders and reflects the Office's statutory and regulatory mandates. The Office's commitment to excellence in environment, safety, and health is demonstrated by striving for:

- Continuous improvement in developing effective programs and policies
- Strong and independent oversight of environment, safety, health, safeguards, and security performance
- Effective and "value-added" technical assistance provided to customers

Open communication, participation, and performance feedback on the Office's activities from relevant parties are integral to its success.

The Assistant Secretary for EH serves as the principal advisor to the Secretary of Energy on matters relating to protection of the environment, workers, and the public from hazards posed by DOE facilities and operations. In accordance with the Secretary's commitment to openness, the Office's functions are to:

- Ensure conformance of the Department's activities with applicable laws and requirements governing protection of the environment, as well as the safety and health of the public and the workers at DOE facilities
- Conduct scientific and technical programs to enhance the Department's ability to protect the health and safety of workers and the public
- Maintain a diverse, well-trained, and motivated work force empowered to participate fully in the Office's missions
- Ensure the adequacy of training programs aimed at providing DOE and contractor employees with adequate understanding of work related hazards and their responsibilities to protect themselves, the public, and the environment

Specific functions of EH that serve its principal customers include:

- Development and establishment of environmental, occupational safety and health, and medical policies and rules for operation of Departmental facilities that are effective, efficient, and state-of-the-art
- Conduct of independent oversight activities that provide a comprehensive, accurate understanding of the state of environment, safety, health, safeguards, and security performance at DOE facilities and that identify programmatic vulnerabilities and opportunities for improvement in a timely manner
- Provision of technical assistance to the Department's programs to foster the identification and resolution of environment, safety, health, safeguards, and security issues. Examples of such activities include:
 - Mentoring
 - Partnering with line programs to develop and implement new programs
 - Assist programs in implementation of a standards based safety culture
 - Maintenance of an effective health surveillance system which includes data gathering and analysis
 - Liaison with other Federal agencies, such as the Environmental Protection Agency and the Occupational Safety and Health Administration to identify and advocate regulatory activities of those agencies that may affect Departmental operations

Mission of Individual EH Offices

EH-2: Ensure that effective safety policies and procedures guide the operations of the DOE Facilities.

EH-3: Provide analysis and certification of DOE-wide performance in protecting the public, the workers and the environment while performing the missions of DOE. This analysis supports corporate decision-making and synthesizes operational information to support continuous environment, safety and health (ES&H) improvement across the DOE complex.

EH-4: Promote cost effective DOE mission accomplishment by providing corporate policy and guidance to meet current and future environmental compliance requirements, developing guidance for Departmental environmental stewardship responsibilities and setting goals to minimize the environmental impacts of DOE operations.

EH-5: Develop, manage and directs programs that provide comprehensive and effective policy for protecting the safety and health of workers at DOE facilities and the communities surrounding those facilities.

EH-6: Implement the Congressionally DOE mandated nuclear safety and occupational, safety and health enforcement programs.

EH-7: Provide the leadership, management, and direction for planning, budgeting, training, financial, human resources, and program execution; ensure that these processes are effective, fully integrated, and consistent with Department-wide processes and requirements; and facilitate and document progress on the President's Management Agenda.

Use of the DOE Mission and Human Capital Management Plan in Decision-Making Processes

Many strategies are used to inculcate the agency mission and the Human Capital Management (HCM) Plan into the day-to-day operations of EH. These strategies include the conduct of staff briefings on a regular basis, the coordination of activities in support of the plan, and ad hoc meetings on special topics to explain and promote new activities. Current hiring actions are now tracked to foster the rapid processing of applicants and filling of openings in the Office. In a similar vein, a skill gaps spreadsheet is being used to coordinate and promote the recertification and hiring of personnel to address gaps in critical skills possessed by Office personnel. Executive-development training is offered to EH managers. The EH Knowledge Management Portal has been upgraded and is being maintained at a high level of utility, and an Assessment Manual Portal is under development. Minority interns are being identified and selected for service and career development within the Office. Final performance appraisals and individual development plans are conducted in a timely fashion. And the skill-gap analysis, organizational restructuring, and training needs analysis, are used to develop the funding request for the upcoming fiscal year.

Accountability Officials

In the past, agencies have assessed accountability through different variables, with the purpose of measuring operational effectiveness and efficiencies. The incorporation of Accountability standards as one of the Human Capital strategies under the Presidential Management Agenda and the establishment of new Civil Service Rules on Human Resources Management have placed accountability criteria at the forefront of measuring operational outcomes and deliverables. As a result, the Department has begun to assess and identify commonalities for measuring program strategic outcomes. The Office of Personnel Management (OPM) issued accountability standards that describe the essential features of an internal Human Resource Accountability system. In support of this initiative, EH Deputy Assistant Secretaries (DASs) were designated as accountability officials.

SCORECARD SUMMARY

Integrate HCM Plan into Decision-Making Processes	
Milestones/Activities	Results and Projections
<p>Identify DOE goals the EH supports and relate HCM plan to those goals.</p> <p>Develop an appendix for the plan detailing DOE's goals and EH's role.</p> <p>Show how results from the HCM plan have contributed through the decision-making process to drive continuous improvement.</p> <p>Review EH support of DOE mission and determine buyout strategy based on ability to meet mission.</p> <p>Provide a checklist of the EH HCM Plan cycle activities to accountability officials for briefing their staff.</p> <p>Conduct briefings for all appropriate EH staff on a regular basis about the EH HCM Plan activities and how to incorporate the Plan into decision making when doing strategic, program, and workforce planning.</p>	<p>Results for 2005</p> <p>DOE goals that EH supports were identified and the HCM Plan was related to those goals. In an appendix to the scorecard, the EH role in the DOE mission was explained.</p> <p>All DASs were identified as accountability officials.</p> <p>Positions identified for restructure based on identification of mission-critical needs. E-mails, memos and discussions at senior staff meetings were used to explain how the buyout is determined based on mission support.</p> <p>EH organizations used September 2004 HCM Plan in their decision-making processes when determining the best strategies for obtaining the correct mix of skills and knowledge for carrying out their work. For example, the organizations have:</p> <ul style="list-style-type: none"> • Used second quarter skill gap analysis as basis to determine the need for hiring and restructuring of title, grade, and series changes • Followed the EH Hispanic Employment Plan and utilized the Minorities in Science and Engineering Consortium (established by the Department's Hispanic Employment initiative) in posting vacancy announcements <p>Specific examples of this integrative process include:</p> <ul style="list-style-type: none"> • EH-3 has a representative on the EH Hispanic Employment Plan work group which aids EH in having a better understanding of the integration process • EH-2 utilized the 2005 Student Diversity Partnership Program in selecting two minority female Interns (one Hispanic and one African American) • EH-3 used first-quarter skill gap analysis as basis to determine the need for two hiring actions (both female) one Asian/Pilipino female • EH supporting and funding three Office Directors to attend the "Managing Technical Professionals and Organizations" through the Massachusetts Institute of Technology Sloan School of Management

Integrate HCM Plan into Decision-Making Processes	
Milestones/Activities	Results and Projections
	<p>Supervisors met with staff to talk about HCM issues related to workforce requirements needed for meeting the DOE mission each quarter of FY 2005.</p> <p>A list of the EH HCM Plan cycle activities was provided to accountability officials for briefing their staff.</p> <p style="text-align: center;">Projections for 2006</p> <p>Quarterly meetings of supervisors will be held with staff to discuss HCM issues. More frequent meetings will be held as needed in response to issues that arise during FY 2006.</p> <p>New accountability officials will be trained as needed to replace accountability officials who retire or resign from EH.</p>

Chapter 2:

Workforce Hiring-Time Reduction Strategy

INTRODUCTION

45-Day Hiring Model

To achieve effective human capital management and succession planning, EH has implemented the OPM 45-day model for federal hiring, which is similar to the 30-day model OPM pioneered for Senior Executive Service (SES) hiring. The model covers that portion of the hiring process that is most visible to applicants, the time from the close of a vacancy announcement to when an offer is made. Applied in conjunction with workforce planning goals and leadership commitment, this model is taking EH to a new level of hiring effectiveness.

It is the objective of EH to;

- Energize its leadership to focus on making all steps in the hiring process flexible, fast, and results-oriented
- Assure that its Human Resource organization has the skill and tools necessary to operate an effective hiring process
- Strengthen measurement and monitoring of the time it takes to hire
- Have a regular, auditable system for collecting and analyzing data on the stages of the hiring process
- Demonstrate significant and ongoing progress toward the goal of 45 days (or less) for all hires at all levels

Personnel Action Tracking System (SF-52)

EH has developed and deployed a Hiring Action Tracking Checklist to gather in one place, data about all recruiting actions resulting in an appointment. The data collected and made accessible through this form include the recruit's name; SF-52 number; action requested; routing symbol; position title; pay plan, occupational series, salary, and grade; duty location; date received by personnel office; announcement opening date; announcement closing date; date merit certificate issued; date DEU certificate issued; date the program office makes a selection; and date a job offer is made.

SCORECARD SUMMARY

Workforce Hiring-Time Reduction Strategy	
Milestones/Activities	Results and Projections
Review current EH's Human Resources (HR) hiring process and historical timeframes.	Results for 2005 EH has developed a timeline for hiring SES positions, based on the OPM 45-Day Hiring Model and implemented it. A timeline was developed and distributed to appropriate staff. A selectee for the DAS for Planning and Administration Position entered duty July 10, 2005. EH developed and implemented a timeline for hiring non-SES positions.
Work with ME to create a system to meet hiring goals.	
Develop timeline to meet 30 and 45 day hiring goals.	

Workforce Hiring-Time Reduction Strategy	
Milestones/Activities	Results and Projections
<p>Work with HR to create EH version of OPM 45-Day Hiring Model.</p> <p>Use CHRIS database and the SF-52 online tracking system on recruitment actions that result in a hiring action to track status of hiring process for new hires (SES and non-SES) Hiring actions will be reviewed regularly to determine whether the appropriate timelines are being followed. Delay in the process will be documented with the reason why.</p> <p>Train appropriate staff to enter data into SF-52 online tracking system.</p> <p>Adapt 45-Day Hiring Model for SES and non-SES positions for EH.</p> <p>Begin tracking of SES recruitment actions currently underway.</p>	<p>EH has developed and deployed a Hiring Action Tracking Checklist to gather in one place, data about all recruiting actions resulting in an appointment.</p> <p>The CHRIS database and SF-52 online tracking system were used on recruitment actions to track the status of the hiring process for new hires (SES and non-SES). Hiring actions were reviewed regularly to determine whether the appropriate timelines are being followed. EH has trained appropriate staff for data entry into the SF-52 and implemented the tracking process. Four GS-8 personnel were hired within 60 days, one program analyst was hired within 30 days. One SES and one management analyst were also hired.</p> <p>The following positions are in the hiring process for the fourth quarter and are on track to be hired within the 45 days for SES and the 30 days for non-SES:</p> <ul style="list-style-type: none"> - Budget Analyst, GS-560-14/15 - Director, Office of Nuclear Safety Research, ES-840-00 - Environmental Protection Specialist, GS- 028-13/14 - General Engineer, GS-801-13 - General Engineer, GS-801-14/15 - General Engineer, EK-801-V - Health Systems Specialist, GS-671-14/15 - Management Analyst, GS-343-14 - Medical Officer, GS-602-15 - Nuclear Engineer, EK-840-V - Program Analyst, GS-343-12/13 - Program Manager, GS-340-14/15 - Safety & Occupational Health Manager, GS-018-15 - Secretary, GS-318-8 (2 positions) - Supervisory Health System Administrator, GS-670-15 - Supervisory Management Analyst, GS-343-15 <p style="text-align: center;">Projection for 2006</p> <p>EH will continue to monitor the hiring process using the SF-52 and identify areas for improvement.</p>

Chapter 3:

Mission-Critical-Skills Gap-Reduction Plan

INTRODUCTION

Critical-Skill-Gap Identification

Numerous measures can be used to reduce the gaps between the skills exhibited by employees and the skills they require to excel in their jobs. It is very important to reduce skill gaps in the most mission-critical areas. Completion of skill-gap analysis for all mission functions is an essential part of EH's workforce planning process and is continually monitored during the quarterly workforce plan review process. As a part of this process, EH analyzes the critical occupations present in its organization and uses competitive sourcing and e-government solutions in its efforts to reduce skill gaps.

Recruitment Plan

EH uses three strategies to significantly reduce skill gaps in mission-critical occupations:

- Developing achievable programs for attracting talent
- Restructuring positions from job series that are no longer needed to carry out EH work
- Recruiting for positions that cannot be filled through restructuring actions or other internal personnel actions

Certification Needs Process

Certification plays an important role in ensuring that personnel know and perform their jobs properly, safely, and completely. Management has several tools available to it to assure that employees have adequate training and certification to perform their jobs. Among those tools are surveying the workforce and its job descriptions to identify positions that require or would benefit from certification, scheduling certification training for those needing it, and tracking the status of certification of all employees holding certificates.

Competitive Sourcing

Whenever practicable, EH uses competition to encourage improvements in operations with the objective of enhancing quality, economy, and performance by following the provisions of Office of Management and Budget (OMB) Circular A-76, the DOE CSPG, the FAR, DEAR, and other appropriate regulations and internal directives in conducting its competitions. In carrying out this process, EH considers and ensures that the Department's and Office's overall mission requirements and strategic objectives are met. All competitions are conducted in a fair, responsible, and equitable manner, providing all players with a level and objective playing field and ensuring that no foregone conclusions will dictate the outcome of any competition. EH strives to ensure that government personnel, customers, and key stakeholders are kept apprised of its competitive sourcing actions and decisions as it employs a defensible, repeatable methodology for identifying potential competitions, nominating potential competition candidates, analyzing nominated candidates for competition feasibility, executing competitions, and implementing the results.

E-Government

The Department of Energy has a strategic vision for transforming the enterprise through E-Government by unifying core applications through a secure environment and simplifying access to

energy-related government services. EH shares this vision, supports the initiative, and participates in its implementation. Key elements of the E-Government initiative include developing DOE's enterprise architecture, enhancing the public trust, focusing resources, improving information technology security, enhancing a capital planning and investment control process, addressing the requirements of the Government Paperwork Elimination Act, and managing change.

SCORECARD SUMMARY

Mission-Critical-Skills Gap-Reduction Plan	
Milestones/Activities	Results and Projections
	Results for 2005
Promote the use of automated training systems.	<p>The Skills Gap Matrix was distributed to all Deputy Assistant Secretaries, completed, and submitted to ME. The Critical Skills Gap spreadsheet was updated quarterly with milestones in the out quarters for reducing skills gaps through hiring, recertification, and re-organizing. EH will revise the Critical Skills Gap Spreadsheet to meet new ME form requirements and correctly identify EH gaps, eliminating duplicate counts in the second-quarter spreadsheet.</p> <p>A meeting was held with ME to discuss strategies for recruitment; these discussions are on-going.</p> <p>Recruitment procedures were initiated for the following positions:</p> <ul style="list-style-type: none"> • Nuclear Safety Engineer (EK-840), pending executive resource board approval • Environmental Protection Specialist (recruitment paperwork for the Environmental Protection Specialist, GS-028-13/14 has been completed; the position announcement opened on 05/20/05) • Deputy Assistant Secretary for Planning and Administration (ES-301), selectee entered duty 07/10/05 • Chief Medical Officer (GS-602), tentative entrance on duty date 10/01/05 <p>A program support specialist and an administrative support specialist were recruited during the first quarter of FY 2005.</p> <p>A class schedule for recertification of EH employees was established.</p> <p>Four students and four faculty members from Florida A&M University were funded to attend the Day of Science event and get information on educational opportunities available at</p>
Update the Workforce Analysis.	
Recruit for required skills, finding both seasoned and newly graduated technical individuals to ensure EH continuously builds on the expertise required through all phases of the implementation of new programs.	
Establish educational pipelines with links to engineering and scientific universities.	
Forge cooperative agreements and recruiting links with engineering and scientific universities.	
Develop and train current staff to perform short-supply competencies identified in the skills gaps analysis and minimize the need to hire new staff.	
Assess the organizational climate annually and share results with managers who will be expected to make needed adjustments.	
Fund four students and four faculty members from Florida A&M University to attend the	

Mission-Critical-Skills Gap-Reduction Plan	
Milestones/Activities	Results and Projections
Day of Science event and get information on educational opportunities available at the Oak Ridge National Laboratory (ORNL).	ORNL.
Establish ongoing communication with ORNL to set up internships.	EH held a meeting in July to discuss setting up internships in the future at ORNL.
Work with the Office of Management, Budget and Evaluation (ME) on establishing a baseline for determining critical skills gaps.	Training has been identified for those with Project Management or Contract Management skill gaps and staff is enrolled in certification program courses, with training starting in first quarter of FY 2006.
Revise the Critical Skill Gap Spreadsheet to meet new ME form requirements and correctly identify EH gaps.	The training sessions for recertification of EH personnel who need re-certification in Radiation Worker II & HAZWPR were completed in July 2005. Ten EH employees were recertified.
Update Critical Skill Gap spreadsheet.	EH promoted the use of automated training systems, such as the DOE Energy Online Learning Center and the DOE Technology Supported Learning Index, via individual IDP/training; workflow assistance gave classes in Workflow process.
Distribute skill-gap matrix from ME to all Deputy Assistant Secretaries for identification of skill gaps in specified areas.	The Workforce Analysis was updated through the Critical-Skills Gap Chart.
Use three strategies to significantly reduce skill gaps in mission-critical occupations:	A current Radiation Worker II and a HAZWPR were trained to perform short-supply competencies identified in the skills gaps analysis.
<ul style="list-style-type: none"> • Develop achievable programs for attracting talent • Restructure positions from job series that are no longer needed to carry out EH work • Recruit for positions that cannot be filled through restructuring actions or other internal personnel actions 	EH assessed the organizational climate and shared results with managers who made needed adjustments.
Address certification needs through identification of EH personnel who need recertification	<p>Competitive Sourcing: The Chief Information Officer (Rose Parks) met with the Assistant Secretary/EH, (John Shaw) on February 2, 2005, to discuss the current IT Competitive Sourcing Initiative. EH originally had 9 FTE's included in the IT study. There were 2.4 FTEs identified as inherently commercial positions. Since the original study, EH has entered into a MOA with the OCIO for eXCITE and Application Hosting Environment services (AHE). Since the original study, EH's Office of Information Management has also reshaped and redefined its tasks to separate inherently commercial and inherently government positions. Also, 4.5 FTE positions at the Radiological and Environmental Sciences Laboratory (RESL) in Idaho were included in the same study. RESL funding is included in the EH-3 budget.</p>

Mission-Critical-Skills Gap-Reduction Plan	
Milestones/Activities	Results and Projections
<p>in RAD Worker II & HAZWPR.</p> <p>Complete paperwork for positions under recruitment.</p> <p>Announce Environmental Protection Specialist position by May 20, 2005.</p>	<p>E-Government: EH played an active role in the Department's E-Government initiative and volunteered to be the first office to transition into the OCIO's eXCITE program. Also, an EH-7 staff member served on the CORE team and as a system tester in the transition to the Department's new LMS online training system.</p> <p>EH-7 supports the sharing of ES&H training and other related information through their sponsored DOE Technology Support Learning Index and the Industrial Hygiene/ Occupational Safety Special Interest Group network. Both initiatives maintain websites through which information is electronically shared:</p> <ul style="list-style-type: none"> • http://www.ornl.gov/eh/training/tsl_Index/tsl_index.htm • http://www.ornl.gov/ihos/index.htm <p>E-government efforts are also used through staff availing themselves of the following electronic systems:</p> <ul style="list-style-type: none"> • Conference Management • DOC's/Correspondence and Action Tracking System(CATS) • DOE INFO for reports • ESS for training, IDPs, ATTAPPS, and skill assessment • FACTS for foreign travel and visit • LMS for online training • Quick Hire • STARS for budget • Travel Manager <p style="text-align: center;">Projections for 2006</p> <p>EH continues to address critical skills mix and mission objectives gaps through the use of buyout and early retirement authority. EH is requesting buyout authority in FY 2006. These measures all met the objective of the President's Management Agenda by reducing the number of SES (2), reducing management layers (elimination of Team Leader positions) and improving spans of control. Once approval has been granted, the EH FY 2006 Human Capital Management Plan will reflect that EH management has identified 33 positions for a potential buyout. Of the 33 positions, EH plans to restructure 27 technical positions to different series and lowered grade levels. Using a buyout authorization and the restructuring of positions will result in significant cost-</p>

Mission-Critical-Skills Gap-Reduction Plan	
Milestones/Activities	Results and Projections
	savings, and reflect succession planning.

Chapter 4:

Succession Plan Strategy Implementation

INTRODUCTION

Position Upgrades

Position upgrades constitute a retention strategy. Such upgrades are the outcome from a job review and result in a higher grade-level job classification. This change usually results from a change in staff duties caused by office shifts, a decision not to replace a departing employee, or increased office responsibility and is accompanied by a revision to the employee's job description. Position upgrades may result in changes in structure of earnings, training receipt, and supervisory responsibility.

Employee Development Plan

An employee development plan enhances the performance of a management system. An employee development plan should address both short- and long-term career goals and should identify and provide access to the training, education, and learning needed to achieve those goals. Under such a plan, supervisors and employees periodically meet to:

- Discuss the career and personal-learning goals of the employee and the agency
- Identify the learning and resources needed
- Review opportunities for appropriate learning occasions
- Put together a plan to achieve the goals selected

Keys to the success of an employee development plan are information, communication, joint decision making, and willingness to learn.

Executive Development Program

Consistent employee promotion and qualification is central to effective human-resource management. Within that promotion and qualification process, executive development is an important ingredient. It promotes the strategic and methodical competence of managers and is the responsibility of line management.

The advancement of an individual's career resulting from executive development training is beneficial to both the employer and the employee. However, the success of any career-development program for executives is heavily dependent on the individual's willingness to pursue the elements that will provide that person with the experiences needed to develop leadership competencies, even undertaking opportunities that may represent a short-term hardship to one's personal life.

The central instrument of executive development is a periodic and systematic assessment, leading to an individual-oriented development plan that identifies and avoids management-team bottlenecks early on or that corrects such bottlenecks as they develop. This ability to manage a smoothly and efficiently operating organization is developed by providing managers with the skills and experience necessary to overcome the problems they face.

SCORECARD SUMMARY

Succession Plan Strategy Implementation	
Milestones/Activities	Results and Projections
<p>Ensure that EH management receives the EH Employee Development Plan, has the opportunity to provide input to it, and agrees to participate in its implementation.</p> <p>Distribute the Employee Development Plan to Senior Management for review and comment.</p> <p>Finalize the Employee Development Plan to implement succession strategies.</p> <p>Recruit and select individuals at the GS-13 and 14 levels for the Executive Development Program on the basis of results of the buyout.</p> <p>Use reclassification of positions as a succession-planning strategy by adding lower-graded staff members to ensure the continuity of function over time.</p> <p>Prepare and deliver a presentation to promote the Executive Development Program.</p>	<p>Results for 2005</p> <p>Reclassification was used for a Health Programs Specialist (a noncompetitive promotion) as a succession planning strategy by adding a lower-graded staff member to ensure continuity of function over time.</p> <p>Two Environmental Protection Specialist positions (GS-14 and GS-15) have been reclassified to GS-9/11 and 13/14. Recruitment has been initiated to fill these two positions.</p> <p>Plan for the use of executive development training was presented to managers.</p> <p>The Employee and the DOE Executive Development plans were given to Senior Management for review and comment and promoted at senior-staff meetings and through E-mail messages.</p> <p>GS 13 and 14s were not targeted for executive development training. EH currently has a qualified leadership talent pool of approximately 18 GS-15 individuals.</p> <p>EH is recruiting individuals at the GS-13 and 14 levels for the executive development program on the basis of the results of the buyout.</p> <p>The Bench-Strength Report was submitted to ME, identifying areas in which executive development is needed.</p> <p>Projection for 2006</p> <p>Supervisors will continue to provide information and encouragement to eligible GS-13 and 14 staff to enroll in the DOE Executive Development Program for the executive positions identified in the Bench-Strength Report as needing to be filled.</p>

Chapter 5:

Knowledge Management

INTRODUCTION

In the next four years, fully half of the EH workforce will be eligible for immediate retirement. In recognition of the impending loss of facility and nuclear safety knowledge and technical expertise that will result from these retirements, this initiative will: 1) identify mission critical knowledge and the employees who hold it, 2) capture and document that knowledge, and 3) disseminate knowledge for reuse to minimize 're-inventing the wheel scenarios' as well as improve organizational and operational efficiency.

Knowledge management focuses on understanding the knowledge needs of an organization and the sharing and creation of knowledge through communities of practice using technology and web-enabled tools. Knowledge management is a systematic process of making organizational knowledge accessible and useful to all employees through acquiring, creating, organizing, synthesizing, and sharing information and expertise. There are two major benefits to the organization:

- Improving organizational performance through increased safety, efficiency, productivity, quality and innovation
- Improved personnel succession by providing new employees and leaders with real time access to the knowledge of current and past employees and leadership

The idea of gathering and sharing information is not a novel one to EH personnel. However, existing paper based processes are bumping up against computer age expectations, and budget constraints are limiting the ability of EH personnel to travel and interact with the field. Nevertheless, because of its central position within the Department, EH is still the best organization to capture and disseminate experience from both the field and outside industry. As an independent organization that is not constrained by the day-to-day needs that dictate field activities, EH has the ability to focus efforts on this project.

Knowledge Management Program Web Portal

One of the most valuable services EH can provide to the Department over the next few years, before the current generation of subject matter experts is lost to attrition, is to foster networks of ES&H expertise throughout the Department. To accomplish this will require re-definition of roles, enhanced organizational alignment and application of knowledge management tools and practices. To provide ES&H knowledge seekers a single point to access all Departmental ES&H knowledge, an integrated EH knowledge portal has been needed. The Knowledge Portal, which would serve as the EH principal Web presence, would be based upon proven knowledge management tools and process to enhance the sharing of information and knowledge within communities of interest using Knowledge Management tools such as:

- Community of Interest Collaboration Forums - Virtual work places where individuals sharing the same interest or seeking solutions can come together and share their knowledge and lessons learned
- Expertise Locators - A directory of DOE personnel cataloged along lines of communities of interest
- Topical Calendars – Up-to-date listings of ES&H events, both Department wide and site specific

By shifting communications to a common Knowledge Management platform, it allows users to easily identify communities of interest relevant to them and to seamlessly find, communicate and collaborate with others as a participant rather than just an observer.

Assessment Manual Knowledge Web Portal

In addition to the Knowledge Management Portal, EH is also applying Knowledge Management principles to use individual topical communities of interest to identify existing knowledge resources within the Department, capture relevant knowledge, and document that knowledge in topical assessment guides. Once documented, identified and captured, that knowledge will be made available via a single Internet gateway for use by DOE personnel across the complex. The portal is anticipated to be online in the summer of 2006. The DOE Assessment Manual Knowledge Portal will eliminate the need for costly, duplicative, and often out of date assessment manuals, improve the consistency of DOE assessment across the complex, and enhance facility and worker safety by providing users a means to access in real-time, the very latest mission critical knowledge of DOE. As such, the Portal will enhance the efficiency and effectiveness of individual users on day-to-day tasks by reducing the time needed to hunt down information.

Defense Nuclear Facilities Safety Board (DNFSB) commitment 2004-1, *Oversight of Complex, High-Hazard Nuclear Operations*, requires DOE to develop an Oversight Manual for use by DOE personnel across the complex. A critical element in the manual will be the recommended assessment criteria and review approach guidance (CRADS). In order to ensure that personnel using the manual benefit from the years of assessment experience and knowledge of DOE personnel, individual functional-area CRADS will be developed and maintained by their respective Communities of Practice. The manual and its individual CRADS will be available on a new ES&H Assessment Manual Knowledge Portal.

Federal Contractors Operating Group Knowledge Portal

EH assisted the Federal Contractors Operating Group (EFCOG) in converting their website into a knowledge portal. The purpose of this effort was to provide DOE contractor personnel with Internet-based knowledge-management tools that would allow them to work more easily in virtual teams and to capture and share knowledge more effectively. The design of the new EFCOG Knowledge Portal not only promotes the capture and sharing of knowledge between members of communities of practice but also between communities of practice.

Web-Based Training Resources

Available on the Web (http://www.ornl.gov/eh/training/TSL_Index/tsl_index.htm) is a DOE Technology Supported Learning (TSL) Index. This electronic index, sponsored by the DOE Office of Planning and Administration (EH-7), is comprised of technology supported learning courses, briefings, and resources useful to ES&H training professionals. The intent is to share limited resources to ensure the leveraging of funding and the quality of training resources. The developers/originators of these resources include members of the DOE community, national laboratories, contractors, other federal agencies, academia, and the private sector.

Any ES&H electronic training course, briefing, or resource can be considered for inclusion to the DOE TSL Index website. Each selection received is inventoried for instructional and content elements. These characteristics are then reported and posted in a user-friendly matrix. The completed matrix is posted to the DOE TSL Index and hyperlinks connect the user to the resources that reside on an organization's external website.

The Industrial Hygiene/Occupational Safety Special Interest Group (IH/OS SIG) is a peer-to-peer network of personnel from the DOE and its contractors, subcontractors, and labor involved in occupational safety and health issues. It is sponsored by EH-7. The IH/OS SIG provides participants with tools for the development, enhancement, and/or implementation of programs and training designed to improve worker safety and health by:

- Identifying, selecting, and revising tools for the development, enhancement or implementation of occupational safety and health programs to meet specific needs within the DOE community
- Developing occupational safety and health resources and materials to address specific safety and health needs and priorities of DOE facilities
- Promoting opportunities and providing avenues for IH/OS professionals within the DOE community to develop and extend their occupational safety and health competencies
- Partnering with DOE to develop, distribute, and implement the use of occupational-safety and health guidance materials
- Facilitating the exchange of materials and resources within the DOE community to increase the cost-effectiveness of occupational safety and health programs, information, and training materials

EH Website

The development and improvement of E-government practices in the federal government and among federal agencies is one of the five key elements of President's Management Agenda. E-Government is about using technology to its fullest to provide services and information. Information is shared with DOE employees, DOE contractors, and the general public through the DOE EH website (<http://www.eh.doe.gov/>). Information about the following offices/initiatives is included on the website:

- Energy Employees Occupational Illness Compensation Program
- Environment
- Environmental Management System
- Facility and Nuclear Safety
- Health
- Integrated Safety Management
- Performance Assessment and Quality
- Planning and Administration
- Price-Anderson Enforcement

In addition, specific information is also shared about ES&H:

- Corporate Reporting Databases
- General Administration and Programs
- General News and Events
- Hot Topics
- Resources

Within the ES&H website is the EH-7 section that includes the following information:

- EH Strategic Plan 2003-2006
- HCM efforts
- President's Management Agenda
- Procedures for Tracking Reports, Requests and Correspondence in EH
- Training Resources:
 - Beryllium Training
 - Course Evaluations
 - DOE TSL Index
 - Energy Online Learning Center

As mentioned previously, events of interest are included on the website. Some events are DOE sponsored while others are not sponsored by DOE but are of interest or benefit to DOE employees. DOE employees can obtain training at some events and/or use attendances to apply toward certification maintenance (CM) points in their professional certification such as being a Certified Industrial Hygienist. One such DOE sponsored event is the Chemical Management Workshop. The Workshop provides a forum for DOE and DOE contractor personnel to identify chemical management -related issues of concern to the DOE. For the March 2005 Chemical Safety Workshop, the American Board of Industrial Hygiene agreed to award up to 3.0 CM points to Certified Industrial Hygienists for attending the workshop to apply toward their CM points in the area of Meetings and Education Programs category.

In addition, the website provides online access to a number of Corporate Reporting Databases and data-analysis documents to facilitate access to data on occurrences, accidents, illnesses, exposures, environmental impacts, performance, and compliance. Database access is restricted to authorized DOE staff and contractors. Those databases include the following.

- Comprehensive Epidemiologic Data Resource (CEDR) is a DOE public-use repository of data from occupational and environmental health studies of workers at DOE facilities and nearby community residents
- Computerized Accident/Incident Reporting System (CAIRS) collects and analyzes DOE and DOE-contractor reports of injuries, illnesses, and other accidents that occur during DOE operations
- Correspondence and Action Tracking System (CATS) is used to enter, track, and report the status of corrective actions developed and implemented in the DOE Corrective Action Management Program (CAMP) to effectively resolve and prevent recurrence of reported findings and has a website that includes guidance for accessing, reviewing and editing the database (access is available through registration)
- Noncompliance Tracking System (NTS) is for DOE contractors to report unsafe actions or conditions that possibly violate nuclear safety requirements for protecting workers and the public (The contractor line management tracks to closure the corrective actions in each report to prevent recurrence. The corrective actions are approved by both DOE field office personnel and investigators in the Office of Price-Anderson Enforcement. Access is granted to DOE personnel who have a "need to know")
- Occurrence Reporting and Processing System (ORPS) provides timely notification to the DOE complex of events that could adversely affect public or DOE worker health and safety, the environment, national security, DOE's safeguards and security interests, functioning of DOE facilities, or the Department's reputation

- Pollution Prevention (P2) site announces P2-related news and developments, as well as providing a convenient on-line reporting system to the DOE sites and program offices
- Radiation Exposure Monitoring System (REMS) database tracks occupational radiation exposures for all monitored DOE employees, contractors, subcontractors and members of the public

SCORECARD SUMMARY

Knowledge Management	
Milestones/Activities	Results and Projections
<p>Work with EH staff members who serve as coordinators or stewards of communities of interest to create virtual meeting places for their communities.</p> <p>Work with EH communities of interest to identify typical discussion areas for forums, questions, and resolution of issues.</p> <p>Develop the Knowledge Portal.</p> <p>Submit directory of EH websites and contacts.</p> <p>Identify and select a Departmental level initiative and apply Knowledge Management Principles and tools to assist in its successful accomplishment.</p> <p>Use the information gained from the development of the Knowledge Portal to build the DOE Assessment Manual Knowledge Portal.</p>	<p>Results for 2005</p> <p>A directory on EH knowledge-specific websites was developed and disseminated.</p> <p>A Knowledge Management Portal has been developed and implemented. The Portal, (http://www.2004-1.org), is designed to provide a central platform for the sharing of documents, informational materials, tools and processes associated with Implementation Plan activities in response to the DNFSB Recommendation 2004-1, <i>Oversight of Complex, High-Hazard Nuclear Operations</i>.</p> <p>The development of the DOE Assessment Manual Knowledge Portal was initiated in the third quarter of 2005 and anticipated being deployed in 2006. It uses individual topical communities of interest to identify existing knowledge resources within the Department, capture relevant tacit knowledge, and document that knowledge in topical assessment guides. Like the Knowledge Management Portal, the DOE Assessment Manual Knowledge Portal is being designed to be easily updated.</p> <p>DNFSB commitment 2004-1 also requires DOE to develop an Oversight Manual for use by DOE personnel across the complex. A critical element in the manual will be the recommended CRADS. In order to ensure that personnel using the manual benefit from the years of assessment experience and knowledge of DOE personal, individual functional-area CRADS will be developed and maintained by their respective Communities of Practice. The manual and its individual CRADS will be available on a new EH Assessment Manual Knowledge Portal.</p>

Knowledge Management	
Milestones/Activities	Results and Projections
	<p>EH assisted EFCOG in converting their website into a knowledge portal which provides DOE contractor personnel with Internet-based knowledge-management tools that will allow them to work more easily in virtual teams and to capture and share knowledge more effectively.</p> <p>In addition, the following sites shared knowledge that was of interest to ES&H professionals:</p> <ul style="list-style-type: none"> • http://www.eh.doe.gov/ • http://www.ornl.gov/eh/training/tsl_Index/tsl_index.htm • http://www.ornl.gov/ihos/index.htm <p style="text-align: center;">Projection for 2006</p> <p>Data will continue to be shared through the following electronic systems :</p> <ul style="list-style-type: none"> • Knowledge Management Portal (http://www.2004-1.org) • DOE EH website (http://www.eh.doe.gov/) • DOE TSL Index Website (http://www.ornl.gov/eh/training/tsl_Index/tsl_index.htm) • IH/OS SIG Website (http://www.ornl.gov/ihos/index.htm) <p>The DOE Assessment Manual Knowledge Portal should be available in 2006.</p> <p>EH will be complying with the transitioning of its existing websites to comply with the new DOE.gov templates and guidelines in compliance with the presidential mandate on E-Government.</p>

Chapter 6:

Workforce and Workplace Diversity

INTRODUCTION

EH is committed to developing strategies that will maximize opportunities for all citizens of the United States to access and actively participate in employment. Its Workplace Diversity Strategy focuses on capturing skills. Its goal is to attract, develop, and retain staff of the highest quality, and to provide a working environment that will enable staff members to maximize their contributions to the achievement of the DOE and EH missions. The strategy has several focuses:

- Minority student recruitment
- Minority workforce recruitment
- Assessing the number of minorities in positions at different levels in the workforce
- Maintaining diversity among those holding mission-critical occupations and leadership positions

This strategy is a vehicle for identifying employment priorities and maximizing performance by tapping the diversity of the national community.

SCORECARD SUMMARY

Workforce and Workplace Diversity	
Milestones/Activities	Results and Projections
<p>Identify mission-critical occupations and leadership positions; focus on those where minorities are under-represented; identify EH components with planned recruitment actions and attritions for 2005 including retirements; commence workforce reshaping efforts and redesign initiatives to meet work-smart objectives.</p> <p>Fund participants for the Day of Science at ONL in Oak Ridge, Tennessee. (This event gives students a chance to learn about some of the laboratory's most exciting research projects and meet many of the scientific staff who serve as mentors in the internship programs.)</p>	<p>Results for 2005</p> <p>From the participants in TLDP, three hires occurred out of zero recruiting opportunities: two secretarial staff and an ES&H specialist.</p> <p>Mission-critical occupations and leadership positions were identified, focusing on those where minorities are underrepresented; EH components with planned recruitment actions and attritions for 2005 including retirements were identified; commerce workforce reshaping efforts and redesign initiatives were carried out to meet work-smart objectives.</p> <p>No minority candidates were recruited for rotational assignments for the Leadership Development Program, and no one is in a rotational assignment.</p> <p>Three minority interns have been recruited.</p> <p>Four students and four faculties (three females and five males, all African Americans) from Florida A&M University were funded to participate in the Day of Science at ORNL in Oak Ridge, Tennessee. This event provides participants an</p>

Workforce and Workplace Diversity	
Milestones/Activities	Results and Projections
Plan activities to improve and sustain diversity.	opportunity to explore cutting-edge scientific research conducted at ORNL; to meet and talk with lab representatives about opportunities for paid internships, co-op positions, and full time positions; and to meet and talk to top scientist about their research and opportunities for collaboration.
Review qualification requirements of minority applicants for critical occupations currently under-represented	A meeting was held with DOE staff members on July 5, 2005 that focused on in the future arranging an internship at ORNL for minorities.
Identify minority candidates enrolled in Technical Leadership Development Program	Activities have been planned that will provide EH with the information and the means for establishing processes to improve and sustain diversity.
Review CHRIS employee data to identify potential participant pool; focus on candidates' knowledge and experience gaps.	<ul style="list-style-type: none"> - A draft Hispanic Recruitment Program has been developed, and funds have been allocated to Science Day for the future employment pool from minority institutions. - EH will review qualification requirements of minority applicants for critical occupations currently under-represented.
Participants complete competency statements related to office of assignment.	
Approve Individual Development Plans.	EH will review employee data to identify potential participant pool; focus on candidates' knowledge and experience gaps.
Hire qualified minority for environmental specialist position	Participants completed competency statements related to office of assignment.
Hire minority interns for administrative positions.	<p style="text-align: center;">Projection for 2006</p> <p>Three candidates have been identified for FY 2006 for The Leadership Development Program.</p>
Identify and select minority interns; recruit minority candidates for rotational assignments for The Leadership Development Program.	

Chapter 7:

Analysis and Optimization of Organizational Structure

INTRODUCTION

Technician Positions Restructuring Review

The Technician Positions Restructuring Review was conducted by EH managers/supervisors to determine what skill gaps exists in technical areas and which positions needed to be restructured. EH has identified 33 positions for a potential buyout in FY 2006. Of the 33 positions, EH plan to restructure 27 technical positions to different series and lowered grades levels to continue its efforts in succession planning.

EH Worker Advocacy Staff Redeployment, Realignment, and Reassignment

The purpose of the Office of Worker Advocacy was to implement Subpart D of the Energy Employees Occupational Illness Compensation Program Act of 2000 (EEOICPA) and provide information to the Department of Labor (DOL) and the Department of Health and Human Services (DHS) for their agency, the National Institute for Occupational Safety and Health to support their activities within the EEOICPA. Administration of the EEOICPA is primarily the responsibility of DOL. DOL is supported in its role with assistance from DOE, DHS, and the Department of Justice. The Worker Advocacy Program was transferred to DOL in FY 2005 and EH is transitioning Worker Advocacy staff and assisting them in qualifying for new job series through detail assignments.

Cost Saving Through the Use of Internal Organization Structures

Due to a Transfer of Function of the Office of Worker Advocacy responsibilities to the DOL, EH was able to save a total of \$627,397 by reassigning/realigning eight employees from the Office of Worker Advocacy to other offices within EH and by avoiding a Reduction in Force (RIF).

SCORECARD SUMMARY

Analysis and Optimization of Organizational Structure	
Milestones/Activities	Results and Projections
<p>Carry out ongoing monitoring and assessment; restructure the EH organization to respond to DNFSB Rec. 2004-1.</p> <p>Continue efforts in corporate performance assessment and benchmark with outside organizations to determine cost savings.</p> <p>Review current jobs and tasks in each EH office for competitive sourcing opportunities.</p>	<p>Results for 2005</p> <p>Under the Technician Positions Restructuring Review the transfer of the Worker Advocacy Program to DOL, eight former EH Worker Advocacy employees have been have been detailed to other EH offices:</p> <ul style="list-style-type: none"> • An office director was realigned, and a program analyst has been detailed to the Office of Corporate Performance Assessment • A medical officer and a program analyst have been realigned and a program specialist have been reassigned to the Office of Health • A field operations coordinator and a program manager have been detailed to the Office of Environment • A secretary has been realigned to the Office of Health

Analysis and Optimization of Organizational Structure	
Milestones/Activities	Results and Projections
<p>Seek opportunities to use E-Government solutions to enhance efficiency and decrease cost.</p> <p>Identify at least one activity that will promote EH's commitment to using E-Government solutions.</p> <p>Reclassify and restructure positions based on retirements and forecasted workloads that have created a need for new skill mixes for some offices.</p> <p>Offer a buyout to those position series that are no longer needed to support EH work.</p> <p>Transition Worker Advocacy staff and assist them in qualifying for new job series in different parts of the EH organization through detail assignments.</p> <p>Positions eligible for buyout identified and documented by EH management.</p> <p>Process VERA and VSIP actions; provide retraining to reassigned employees, as needed.</p>	<p>These details have had positive results. The financial costs associated with terminating employees have been avoided resulting in a total saving of \$627,397.</p> <p>Restructuring of the EH organization to respond to DNFSB Rec. 2004-1 began in November 2004.</p> <p>EH continues its efforts in corporate performance assessment and benchmarks with outside organizations to determine cost savings.</p> <p>Each office in EH has reviewed current jobs and tasks for competitive-sourcing opportunities.</p> <p>EH reclassified and restructured positions based on retirements and forecasted workloads that have created a need for new skill mixes for some offices.</p> <p>Positions eligible for buyout were identified and documented by EH management. Upon approval from OMB and OPM, EH will offer a buyout in FY 2006 to those positions that are no longer needed to support EH work. The buyout identification was approved by EH and ME with an estimated cost savings of \$627,397 on the basis of personnel-termination costs.</p> <p style="text-align: center;">Projections for 2006</p> <p>EH will continue to use competitive sources, E-Government solutions, reassignment, and reclassification of positions as needed to fulfill mission requirements while remaining within budgetary constraints.</p> <p>EH management has identified 33 positions to be restructured and/or lower-graded positions and different job series caused by shifting skill mix needs and forecasted workloads. Using a buyout authorization and the reclassification of positions will result in cost savings and reflect succession planning.</p>

Chapter 8:

Performance Appraisals

INTRODUCTION

The DOE Performance Appraisal System identifies meaningful performance distinctions among the Department's managers and supervisors, incorporates strategic plans and mission objectives with accountability for achieving such objectives into the performance plans of managers and supervisors, and provides substantial financial rewards commensurate with top performance. It covers DOE managers and supervisors in grade or salary levels below the Senior Executive Service, managers and supervisors appointed in the Excepted Service, and managers and supervisors under other pay systems or types of appointments who have been extended coverage by their departmental elements.

Performance plans for managers and supervisors must be established and in place no later than 30 days from the beginning of the performance appraisal period. At least one progress review must be conducted annually, generally around the midpoint of the performance-appraisal period. The minimum performance appraisal period is 90 calendar days. Recognition and rewards must be provided to employees whose performance so warrants. Assistance must be provided to employees in improving unacceptable performance. Action must be taken to reassign, reduce in grade, or remove employees who continue to have unacceptable performance, but only after an opportunity to demonstrate acceptable performance.

Guidelines and Training Materials

The following guidance documents were received to aid in completion of performance appraisals:

- DOE O 331.1B, Employee Performance Management System
- ME Guidance Document
- DOE Headquarters Performance Management Program Implementation Plan

Supervisory Training

A new supervisor training video, Performance Management for Supervisors, was provided by Management, Budget, and Evaluation. It is used once a year to refresh supervisor training and is also used in supervisory training as part of the New Leader Program.

SCORECARD SUMMARY

Performance Appraisals	
Milestones/Activities	Results and Projections
<p>Review the number and amount of employee awards provided by each EH internal organization.</p> <p>Review of appraisal/reward statistics for FY 2004 completed.</p> <p>Work with EH management, Human Resources, and the employee union to develop policy for monetary awards related to level of performance.</p> <p>Identify an award methodology and write a directive.</p> <p>Train appropriate EH personnel in performance review and appraisal process and procedures.</p> <p>Carry out mid-year progress reviews for Performance Appraisals and document the appraisals.</p> <p>Ensure that employees in certification programs and leadership development programs are progressing as expected.</p> <p>Document progress issues and discuss them with employees.</p> <p>Complete final performance review s and individual-development plans on schedule.</p>	<p>Results for 2005</p> <p>Guidelines and training materials on performance reviews and appraisal processes and procedures were acquired or developed. EH established training sessions for EH supervisors in performance review and appraisal requirements and procedures. All 21 supervisors were trained with the training materials.</p> <p>The mid-year progress reviews were completed and performance/progress issues were documented and discussed with employees.</p> <p>EH supervisors ensured that employees in certification programs and leadership development programs are progressing as expected. Final progress reviews and individual-development plans were discussed with employees, and the accomplishment of the task was documented.</p> <p>Development of a directive on performance awards was begun.</p> <p>Projection for 2006</p> <p>EH will train new or replacement supervisors on the new performance management system, as needed.</p>

Chapter 9:

HCM Plan and Related EH Future Budgetary Needs

INTRODUCTION

The FY 2007 budget request will identify program goals, objectives, and milestones that mirror those addressed in the EH Workforce Plan. The FY 2007 Budget Request will specify sufficient resources to implement the EH human capital strategy and Workforce Plan, including resources for individual development plans, outreach, recruitment activities, and hiring.

EH requested an \$8,000-increase in Program Direction funds (over target) to be specifically used to recruit and hire a diverse cadre of highly qualified, technical professionals to fulfill the EH corporate responsibilities and the EH mission. The importance of the EH workforce and strategic plans for achieving the EH programs are addressed in the Program Plan:

Achieving these programs requires a highly skilled, well-qualified workforce. The EH current workforce analysis identifies some skills gaps in leadership positions and mission-critical occupations, and these pose some risk to the successful completion of key programs. This risk is mitigated by the EH Workforce Plan, which includes management actions that can close skills gaps to guarantee the staffing of mission-critical areas and continued implementation of detailed succession plan.

SCORECARD SUMMARY

HCM Plan and Related EH Future Budgetary Needs	
Milestones/Activities	Results and Projections
<p>Compile training and development needs for FY 2005</p> <p>Identify employees who have completed certification programs.</p> <p>Determine the future needs for certification program participants and leadership development program participants.</p> <p>Determine where skills gaps exist.</p> <p>Develop plan for addressing anticipated skills gaps.</p>	<p>Results for 2005</p> <p>As a policy and guidance organization, EH does not have a Program Plan and therefore has no specific GPRA or outcome measures. However, EH does use its HCM plan in the development of its budgetary submissions. Some examples include:</p> <ul style="list-style-type: none"> • EH-2 and EH-3 integrated information from the skills gap analysis conducted in the second quarter of FY 2005 into the FY 2007 budget request for Program Direction funding that was formulated in the third quarter of FY 2005. • Integrated information from its skills gap analysis conducted in the second quarter of FY 2005 into the EH-3 FY 2007 budget request for Program Direction funding (to include seven FTEs for the Nuclear Safety Research function) that was formulated in the third quarter of FY 2005.

<p>Prepare supervisors to discuss with employees (during quarterly progress reviews for performance appraisals) their participation in certification programs and leadership development programs</p> <p>Review needed funding allocations for training activities.</p> <p>Identify program goals, objectives, and milestones identified in the EH Strategic Plan and identify the human capital resources needed to carry out the EH work.</p> <p>Compile a list of personnel actions needed to obtain the correct mix of skills for carrying out the EH work, including buyouts, recruitment activities, hiring, and internal personnel shifts.</p> <p>Skill Gap analysis by DASs To determine needed skills and positions targeted for buyout. DASs also determined the need for various positions that needed to be restructured and implement succession planning via lower grade levels</p> <p>A list of staff positions no longer needed and the costs associated with eliminating those positions through buyout were prepared.</p>	<p>In terms of the actions and milestones of this policy and guidance organization ,</p> <ul style="list-style-type: none"> • An Individual Development Plan (IDP) call was issued. IDPs were collected, and training and development funding needs were compiled into the Annual Training Report for FY 2005 training needs. • The Skills Gap Analysis chart was completed and submitted to ME on February 11, 2005. • All potential candidates were briefed by the DASs on certification programs and employee development programs. • The budget figure for training activities was determined and reported in the IDP rollup. • The budget request for FY 2006 was submitted on February 1, 2005, and based on data from the OMB decision. • Strategies that were listed as a part of the HCM Plan and information from skill gaps analysis were used to justify the Program Direction funding request. <p>For FY 2006, EH has compiled the list of positions to be included in the buyout and submitted it for approval. Once approval has been granted, the EH FY 2006 budget request and the FY 2007 Corporate Review Budget Request will be submitted to the DOE Chief Financial Officer.</p> <p style="text-align: center;">Projection for 2006</p> <p>The EH strategic plan and workforce analysis documents will be reviewed, and a budget request will be based on that review.</p>
---	--

Chapter 10:

Conclusion

To achieve its human capital management strategy, EH will continue to recruit, retain, and develop a well-qualified workforce with a strong commitment to reducing under-representation and a goal to shift to a younger, less senior demographic to ensure the strongest possible leadership talent pool. Using this Workforce Plan as a guide, EH will look for restructuring improvements. EH is committed to maintaining an up-to-date Workforce Plan to address future skills needs, acknowledging that changes in funding, internal and external direction, or political environment may impact current plans. The EH vision is to build, sustain, and effectively deploy the skilled, knowledgeable, and high-performing workforce needed to meet current and emerging goals.

Appendix A:

Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarter 1 Results Submission

Introduction

The Environment, Safety, & Health (EH) Human Capital Management (HCM) Workforce Plan contains the goals, strategies, and activities needed to ensure that EH has a workforce equipped with the skills and knowledge to carry out EH's highly technical mission and corporate responsibilities and achieve its business vision. This appendix to the EH Human Capital Management (HCM) Workforce Plan of September 2004 provides quarterly progress milestones for each of the HCM requirements stipulated by the Office of Human Capital Management (ME-50).

EH's approach to human capital management is an iterative process in which its Strategic Plan is reviewed annually to ensure progress is being made toward planned goals and that EH activities provide focused support to the DOE mission. Based on revised strategies, the EH Workforce Analysis is updated, identifying skills gaps due to new strategies, skills lost or gained due to staffing losses or new hires and areas lacking in minority representation. With information from the Workforce Analysis in hand, supervisors discuss updated performance expectations with current employees during performance appraisals. The revised performance expectations serve a baseline for updating the EH Succession Plan. These activities comprise the EH HCM Plan Cycle. Many of the quarterly milestones for the EH HCM Plan will be accomplished as the EH HCM Plan Cycle is completed. A copy of the EH HCM Plan Cycle, including elements and activities, is provided at the end of this appendix.

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
Integrate HCM Plan into decision-making processes <ul style="list-style-type: none"> - Plan linked to DOE mission, strategy, and goals - designates accountable officials 	In the first quarter of FY 2005, EH will work on efforts to expand the role of EH in support of the DOE mission.		December 23, 2004
Demonstrate improvement in meeting hiring-time goals <ul style="list-style-type: none"> - have auditable system for collecting & analyzing hiring data 	Review current EH/HR hiring process and historical timeframes Track hiring process for first quarter of FY 05	4 GS-8 personnel were hired within 60 days 1 program analyst was hired within 30 days	December 23, 2004
Significantly reduce skills gaps in mission-critical occupations <ul style="list-style-type: none"> - identify mission-critical skills, needs, no. available, & gaps 	EH will continue to promote the use of automated training systems in FY 2005. First quarter 2005, update the Workforce Analysis		December 23, 2004

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
<ul style="list-style-type: none"> - address certification needs by level for project managers, contract, and information technology managers develop strategies to create workplace that attracts talent - integrate the results of competitive sourcing & e-Gov 	<p>Recruit for required skills, finding both seasoned and newly graduated technical individuals to ensure EH continuously builds on the expertise required through all phases of the implementation of new programs, e.g., OSH and Quality Assurance.</p> <p>Establish educational pipelines with links to engineering and scientific universities.</p> <p>Forge cooperative agreements and recruiting links with aforementioned universities.</p> <p>In FY 2005, EH will continue to develop and train current staff to perform short supply competencies identified in the skills gaps analysis and minimize the need to hire new staff until later in FY 05 and 06 when budgets improve. EH will assess the organizational climate annually and share results with managers who will be expected to make needed adjustments.</p>	<p>A program support specialist and an administrative support specialist were recruited during the first quarter of FY 05.</p> <p>Fund 4 students and 4 faculty from Florida A& M University to attend the Day of Science event and get information on opportunities available at educational ORNL</p> <p>Establish on-going communication with Oak Ridge National Laboratory to set up internships.</p>	
<p>Implement succession strategies</p> <ul style="list-style-type: none"> - include executive development programs - result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge 			
<p>Link Knowledge Management effort to DOE portal</p>	<p>In the next four years, fully half of the EH's workforce will be eligible for immediate retirement. In recognition of the impending loss of facility and nuclear safety knowledge and technical expertise</p>		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>that will result from these retirements, this initiative will: 1) identify Mission Critical knowledge and the employees who hold it, 2) capture and document that knowledge, and 3) disseminate knowledge for reuse to minimize 're-inventing the wheel scenarios' as well as improve organizational and operational efficiency.</p> <p>Knowledge Management (KM) focuses on understanding the knowledge needs of an organization and the sharing and creation of knowledge through communities of practice using technology and web-enabled tools. KM is a systematic process of making organizational knowledge accessible and useful to all employees through acquiring, creating, organizing, synthesizing, and sharing information and expertise. There are two major benefits to the organization: 1) improving organizational performance through increased safety, efficiency, productivity, quality and innovation, and 2) improved personnel succession by providing new employees and leaders with real time access to the knowledge of current and past employees and leadership.</p> <p>Application of Knowledge Management tools and processes in private sector Knowledge industries has been a principal contributor to employee productivity and organizational efficiency gains heralded in newspaper business sections over the past few years. The Federal Government is turning to these same tools to address the challenges of capturing the knowledge of ageing workforces and delivering the same level or better service in an environment of decreasing budgets.</p>		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>This initiative will drawn heavily upon the lessons learned and best practices of Knowledge Management efforts of other Federal Agencies, such as the Department of Defense, the Treasury Department, the Federal Highway Administration, the Federal Aviation Administration, and also insights gained from successful knowledge management initiatives in the private sector.</p> <p>President’s Management Agenda</p> <p>A critical element for the successful implementation of the President’s Management Agenda (PMA) - Human Capital and E-Gov elements is the identification, capture, and dissemination for reuse of existing Departmental knowledge and expertise. The PMA specifically identifies Knowledge Management as an effective approach to addressing these key issues. In response to the PMA, the Department of Energy has committed to implementing a corporate approach to Knowledge Management.</p> <p>As part of it’s response to the President’s Management Agenda Human Capital Agenda item, the Department formally committed to a corporate approach to Knowledge Management. A key element of this commitment was the identification of Knowledge Management pilot projects within the Department. This EH initiative would qualify as a pilot project, and its implementation would also be supported by the Office of Human Capital Management.</p>		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>Background</p> <p>I.EH & Knowledge Management</p> <p>EH historically has served as the Department's principle clearinghouse for ES&H information. EH has a unique cadre of ES&H professionals with extensive knowledge and experience. Historically EH personnel shared their expertise in the field through site visits, personal interactions, workshops and conferences. However, over the past several years budget constraints have seriously limited these traditional modes of sharing expertise with the field. At the same time field personnel changes as a result of retirements and organizational changes occurring though new contract awards have marginalized the historically strong professional relationships between EH professionals and their field-based counterparts. As a result, EH predominance as the Department's provider of choice for ES&H consultation to management and field subject matter experts has diminished and the perceived value of the expertise resident in EH has become more nebulous.</p> <p>Corporate ES&H organizations in many private sector firms face the same relevancy issues that face EH. Private sector organizations have adapted new ways for headquarters or corporate functions to contribute to the bottom line. The private sector ES&H organizations that have successfully responded to this challenge have strategically embraced Knowledge Management tools and principles and transformed traditional ES&H organizations into hub centers of expertise that connect the collective ES&H community in</p>		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>the corporation.</p> <p>A critical issue faced by EH is the continued loss of EH experience through staff turnover and retirement each year. In most cases critical knowledge is lost when a worker leaves because there is no mechanism to strategically capture that individual's knowledge. As a result, loss of the experience of the workers who have left leads to safety vulnerabilities, accidents, or a decline in performance. Efforts to re-learn lost knowledge come at considerable expense.</p> <p>The idea of gathering and sharing information is not a novel one to EH personnel. However, existing paper based processes are bumping up against computer age expectations, and budget constraints are limiting the ability of EH personnel to travel and interact with the field. Nevertheless, because of its central position within the Department, EH is still the best organization to capture and disseminate experience from both the field and outside industry. As an independent organization that is not constrained by the day-to-day needs that dictate field activities, EH has the ability to focus efforts on this project. One of the major lessons learned from past technical support activities of EH is that the most effective help EH can provide is to connect seekers of knowledge with knowledge holders. Field personnel want and need to talk to others in their community who have faced and overcome specific issues and problems. To prevent reinventing existing wheels, they need speedy, real-time access to existing documents, procedures and expert consultation. Communication within these communities is often through</p>		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>conference calls, E-mail lists, and web pages. While these processes are often effective for people who know how to access them, they do little for those ‘out of the loop.’</p> <p>Because new issues and information are constantly entering the ES&H domain, seeking out the holders of knowledge is often impossible, especially under the tight time constraints that face field managers and staff. EH can provide valuable service by serving as knowledge stewards for their communities of interest.</p> <p>One of the most valuable services EH can provide to the Department over the next few years, before the current generation of subject matter experts is lost to attrition, is to foster networks of ES&H expertise throughout the Department. To accomplish this will require re-definition of roles, enhanced organizational alignment and application of knowledge management tools and practices. To provide ES&H knowledge seekers a single point to access all Departmental ES&H knowledge, an integrated ES&H knowledge portal should be developed. The Knowledge Portal, which could also serve as EH’s principal web presence, should be based upon proven KM tools and process to enhance the sharing of information and knowledge within communities of interest using Knowledge Management tools such as:</p> <ul style="list-style-type: none"> • Community of Interest Collaboration Forums - Virtual work places where individuals sharing the same interest or seeking 		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>solutions can come together and share their knowledge and lessons learned</p> <ul style="list-style-type: none"> • Expertise Locators - A directory of DOE personnel cataloged along lines of communities of interest, and • Topical Calendars – Up-to-date listings of ES&H events, both Department wide and site specific. <p>By shifting communications to a common Knowledge Management platform, we allow users to easily identify communities of interest relevant to them and to seamlessly find, communicate and collaborate with others as a participant rather than just an observer.</p> <p>Forums take the role of stewarding one step further, by allowing EH personnel to create virtual meeting places in which members of their communities of interest can come together and exchange ideas and knowledge. For the Forums to be effective, EH personnel must actively work with their communities of interest to identify topical discussion areas for forums, moderate the discussions, and if necessary interface directly with users to address questions and resolve issues. The benefit of reaching and sharing information with all community members, in real time, far outweigh the loss of past one-on-one meetings with customers in the field.</p> <p>I. Implementation Approach</p> <p>Implementing Knowledge Management within EH should be conducted in three phases. The first phase should focus on transitioning EH staff members who already actively serve as coordinators, or</p>		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>stewards of communities of interest, such as Fire Protection, Construction Safety, and NEPA. By focusing on these groups first, the initiative stands a better chance of being successful and will help overcome traditional resistance to change concerns.</p> <p>The second phase will target implementing Knowledge Management solutions in functional areas involving employees eligible for retirement. The third phase will expand KM solutions to all applicable ES&H subject matter areas. Each phase will involve the following tasks:</p> <ol style="list-style-type: none"> 1. Identification and documentation of knowledge needs and sources: <ol style="list-style-type: none"> a) Interviews will be conducted with cognizant ES&H personal to: <ol style="list-style-type: none"> i. Identify frequently referenced documents and materials ii. Identify information sources of other Federal Agencies iii. Identification of Frequently Asked Questions and answers iv. Identify DOE HQ and Field Personal involved in activities 		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<ul style="list-style-type: none"> b) Interviews will be conducted with HQ and Field personnel to: <ul style="list-style-type: none"> i. Identify information sources or needs to successfully address activities in the specific ES&H topic ii. Identification of Frequently Asked Questions and answers 2. Population of content of the community specific ES&H Knowledge Portal web sections: <ul style="list-style-type: none"> a) Review existing EH based web resources related to specific area. b) Identify additional web based resources for addition to topical areas web pages. Sources shall include: <ul style="list-style-type: none"> i. Other offices within the Department, including operating contractors ii. Other Federal agencies iii. Private sectors c) Identify web or electronic versions of hard copy reference material used by technical experts. 		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>d) Identify frequently used hard copy reference material that warrants scanning and posting to topical area web pages.</p> <p>In addition to working one on one with individual technical experts, this initiative will also include:</p> <p>1. Knowledge Management Training</p> <ul style="list-style-type: none"> • Develop and conduct office level training to introduce staff to the principles and tools of Knowledge Management. • Working with individual ES&H topical experts, introduce them to the various tools utilized in the application of Knowledge Management, including the use of discussion forums, expert resource locators, taxonomy development and organization, and document hyper linking and book marking. • Assist DOE technical experts in the introduction of Knowledge Management principles and tools to the members of their specific communities of interest. This includes conducting community-specific training. 		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>2. Development of EH specific KM Performance Indicators to measure:</p> <ul style="list-style-type: none"> a) Improvements in knowledge sharing within EH b) Cost savings and productivity improvements c) Increase in field perception of EH as a effective knowledge resource <p>3. Quarterly Reports documenting initiates activities and successes in support of:</p> <ul style="list-style-type: none"> a) Presidents Management Agenda b) EH Strategic Plan c) Integrated Safety Management and DNFSB Recommendation 2004-1 <p>The Benefits of Embracing Knowledge Management</p> <p>By embracing Knowledge Management, workers can easily access critical mission related knowledge when needed. From the Department's perspective, access to the latest ES&H knowledge will enable personnel at all levels to incorporate current knowledge, learn from the ideas and experience of others, and do more with less.</p> <p>In addition, the active use of the Knowledge Management Tools by EH and Field personnel will provide EH Management a rich source of real time insights on the current and emerging needs and concerns of the field, thereby allowing more rapid</p>		

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
	<p>development and delivery of EH sponsored solutions.</p> <p>Also, implementation of a formal Knowledge Management strategy in EH will support succession planning by identifying EH, program and field ES&H experts and through electronically enabled communities of practice promote enhanced knowledge capture thus preserving valuable expert knowledge and aiding in the transfer of that knowledge to future generations.</p> <p>Resources: This project will be done by Federal EH-21 staff, and no contract support funding is necessary.</p>		
<p>Implement strategies to address under-representation of minorities</p> <ul style="list-style-type: none"> - particularly in mission-critical occupations & leadership establish processes to improve and sustain diversity 			
<p>Analyze & optimize organizational structures for service and cost</p> <ul style="list-style-type: none"> - use redeployment & de-layering as necessary - integrate competitive sourcing & e-Gov solutions - put processes in place to address future needs for change 	<p>Ongoing monitoring and assessment; restructuring of the EH organization to respond to DNFSB Rec. 2004-1 expected to begin in November 2004.</p> <p>EH will continue its efforts in corporate performance assessment and benchmark with outside organizations to determine cost savings.</p>		December 23, 2004

Requirements for HCM Plan	Strategy/Activities	First Quarter Milestone(s)	Target Date for Completion
Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of workforce - differentiate between various levels of performance - provide consequences based on performance	Review the number and amount of employee awards provided by each EH internal organization	Review of appraisal/reward statistics for FY 2004 completed.	December 23, 2004
Use outcome measures to make HC decisions - link HCM Plan to Program Plan(s) and FY06 Budget	Compile training and development needs Create Annual Training Report (ATR)	Individual Development Plan (IDP) call issued IDPs collected and training and development funding needs compiled into ATR	December 23, 2004

(Appendix A - Scorecard Quarter 1 Results Submission)
EH HCM Plan Cycle

Timeline	Strategy	Activities
July	Strategic Plan review Accountable Officials: <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration 	<ol style="list-style-type: none"> 1. Review and incorporate results and recommendations from EH-3 (Office of Corporate Performance Assessments) performance assessments. 2. Assess progress as measured by strategic indicators in Strategic Plan. 3. Revise objectives and strategies as needed. 4. Ensure strategies are in line with DOE mission, strategy, and goals. 5. Identify human capital needs resulting from new or revised objectives and strategies. 6. Analyze and recommend organizational restructuring to optimize service and cost.
August	Workforce Analysis review Accountable Officials: <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Ensure all strategies are categorized as: <ul style="list-style-type: none"> • Mandated by law or order • Mission Critical • Important to mission completion 2. Re-assess current workforce. <ul style="list-style-type: none"> • Losses • New hires • Projected losses 3. Identify FTEs needed 4. Identify new skills needs and skills gaps 5. Determine strategies for acquiring needed skills and maximizing workforce diversity and efficiency. 6. Contact ME to employ DOE strategies for attracting new hires.
September	Final progress reviews for Performance Appraisals Accountable Officials: <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Determine performance rewards. 2. Identify employees for leadership development candidacy. 3. Review leadership development participants' progress. 4. Review technical qualification candidates' progress. 5. Review technical qualification program participants' continuing education activities and future developmental activities. 6. Identify potential candidates for DOE certification programs.
December	IDPs submitted Accountable Officials: <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<p>The IDP call goes out in Oct. after performance reviews are complete.</p> <p>Employees complete individual development plans based on discussions with their supervisors regarding improving performance with new skills and knowledge such as leadership skills or special certifications.</p> <p>Information from the IDPs is compiled in the Annual Training Report (ATR). The ATR is used to schedule training activities and</p>

		determine funding allocations for these activities.
Dec/Jan	<p>Succession Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Identify employees who have completed certification programs. <ul style="list-style-type: none"> • Is there minority representation? • What strategies have they been assigned? • Does task and level of responsibility match certification expectations? 2. Determine future needs for certification program participants and leadership development program participants. 3. Determine where skills gaps exist. 4. Develop plan for addressing anticipated skills gaps. 5. Prepare accountable officials to discuss participation in certification programs and leadership development programs with employees at quarterly progress reviews for performance appraisals.
February	<p>Quarterly progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	Discuss new performance expectations, if any, based on the succession plan review with employee.
June	<p>Mid-year progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	Accountable officials ensure that employees in certification programs and leadership development programs are progressing as expected.
June	<p>Annual budget models</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration 	Determine human capital budget based on Strategic Plan revisions, Workforce Analysis and Succession Plan recommendations.

Appendix B:

Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarter 2 Results Submission

Introduction

The Environment, Safety, & Health (EH) Human Capital Management (HCM) Workforce Plan contains the goals, strategies, and activities needed to ensure that EH has a workforce equipped with the skills and knowledge to carry out EH's highly technical mission and corporate responsibilities and achieve its business vision. This appendix to the EH Human Capital Management (HCM) Workforce Plan of September 2004 provides quarterly progress milestones for each of the HCM requirements stipulated by the Office of Human Capital Management (ME-50).

EH's approach to human capital management is an iterative process in which its Strategic Plan is reviewed annually to ensure progress is being made toward planned goals and that EH activities provide focused support to the DOE mission. Based on revised strategies, the EH Workforce Analysis is updated, identifying skills gaps due to new strategies, skills lost or gained due to staffing losses or new hires and areas lacking in minority representation. With information from the Workforce Analysis in hand, supervisors discuss updated performance expectations with current employees during performance appraisals. The revised performance expectations serve a baseline for updating the EH Succession Plan. These activities comprise the EH HCM Plan Cycle. Many of the quarterly milestones for the EH HCM Plan will be accomplished as the EH HCM Plan Cycle is completed. A copy of the EH HCM Plan Cycle, including elements and activities, is provided at the end of this appendix.

Quarter 2			
Requirements for HCM Plan	Strategy/Activities	Second Quarter Milestone(s)	Results
Integrate HCM Plan into decision-making processes <ul style="list-style-type: none"> - Plan linked to DOE mission, strategy, and goals - designates accountable officials 	Identify DOE goals the EH supports and relate HCM plan to those goals. Show how results from the HCM plan have contributed through the decision-making process to drive continuous improvement.	Develop appendix for plan of DOE goals and EH's role. Deputy Assistant Secretaries review EH support of DOE mission and determine buyout strategy based on ability to meet mission.	See appendix. 15 to 20 positions identified for possible buy-out based on identification of mission-critical needs. Email explaining how buyout is determined based on mission support sent to all Deputy Assistant Secretaries.
Demonstrate improvement in meeting hiring-time goals <ul style="list-style-type: none"> - have auditable system for collecting & analyzing hiring data 	Work with DOE/ME to create a system to meet hiring goals.	Develop timeline to meet 30 and 45 day hiring goals.	Timeline developed and distributed to appropriate staff.

Quarter 2			
Requirements for HCM Plan	Strategy/Activities	Second Quarter Milestone(s)	Results
Significantly reduce skills gaps in mission-critical occupations <ul style="list-style-type: none"> - identify mission-critical skills, needs, no. available, & gaps - address certification needs by level for project managers, contract, and information technology managers - develop strategies to create workplace that attracts talent - integrate the results of competitive sourcing & e-Gov 	Work with ME on establishing a baseline for determining critical skills gaps.	Distribute skills gap matrix from ME to all Deputy Assistant Secretaries for identification of skills gaps in specified areas. (Feb. 11)	Skills Gap Matrix distributed to all Deputy Assistant Secretaries, completed and submitted to ME by Feb. 11 deadline.
Implement succession strategies <ul style="list-style-type: none"> - include executive development programs - result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge 	Ensure that EH management receives the EH Employee Development Plan, has the opportunity to provide input and agrees to participate in its implementation.	Distribute the Employee Development Plan to Senior Management for review and comment. Finalize plan to implement succession strategies.	Presented draft Employee Development Plan to EH senior management for review. Scheduled March 16 meeting to plan and implement activities required to carry out the Employee Development Plan and other HCM activities.
Link Knowledge Management effort to DOE portal	Work with EH staff members who serve as coordinators or stewards of communities of interest to create virtual meeting places for their communities	Submit directory of EH websites and contacts.	Directory on EH knowledge-specific websites submitted.

Quarter 2			
Requirements for HCM Plan	Strategy/Activities	Second Quarter Milestone(s)	Results
	Work with EH communities of interest to identify typical discussion areas for forums, questions, and resolution of issues		
Implement strategies to address under-representation of minorities <ul style="list-style-type: none"> - particularly in mission-critical occupations & leadership - establish processes to improve and sustain diversity 	Identify mission critical occupations and leadership positions; focus on those where minorities are under-represented; identify EH components with planned recruitment actions and attritions for 2005 including retirements; commerce workforce reshaping efforts and redesign initiatives to meet work smart objectives.	<p>Fund participants for the Day of Science in Oak Ridge, TN. (This event seeks to increase the number of minority students that apply and are selected for undergraduate research participation programs. The Day of Science not only gives students a chance to learn about some of the laboratory's most exciting research projects, but students and faculty also have the chance to meet many of the scientific staff members who serve as mentors in the internship programs.)</p> <p>Plan activities that will provide EH with the information and the means for establishing processes to improve and sustain diversity.</p>	<p>Funded four students and two faculty from Florida A&M University to attend the Day of Science in Oak Ridge.</p> <p>Scheduled meeting for week of March 21-25 to plan future recruitment activities.</p>
Analyze & optimize organizational structures for service and cost <ul style="list-style-type: none"> - use redeployment & de-layering as necessary integrate competitive sourcing & e-Gov solutions - put processes in place to address 	Each office in EH will review current jobs and tasks for competitive sourcing opportunities. EH will actively seek opportunities to use E-Gov solutions to enhance efficiency and decrease cost.	<p>Review job descriptions and tasks and identify competitive sourcing opportunities in the Information Technology area.</p> <p>Identify at least one activity that will promote EH's commitment to using E-Gov solutions.</p>	Rose Parks, Chief Information Officer (CIO) met with John Spitalera Shaw, Assistant Secretary/EH, on February 2, 2005, to discuss the current IT Competitive Sourcing Initiative. EH originally had 9 FTE's included in the IT study. 2.4 FTEs have been identified as inherently commercial positions. Since the original study, EH has entered into a MOA with the OCIO for eXCITE and Application Hosting

Quarter 2			
Requirements for HCM Plan	Strategy/Activities	Second Quarter Milestone(s)	Results
future needs for change			<p>Environment services (AHE). Since the original study, EH's Office of Information Management has also reshaped and redefined its tasks to separate inherently commercial and inherently government positions. Also, 4.5 FTE positions at the Radiological and Environmental Sciences Laboratory (RESL) in Idaho were included in the same study. RESL funding is included in the EH-3 budget.</p> <p>E-Government: EH played an active role in the Department's e-gov initiative and volunteered to be the first office to transition into the OCIO's eXCITE program.</p>
Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the EH workforce <ul style="list-style-type: none"> - differentiate between various levels of performance - provide consequences based on performance 	Work with EH management, HR, and employee union to develop policy for monetary awards related to level of performance	Identify an award methodology and write a directive. (DUE DATE: 03/18/2005)	Began development of directive on performance awards.
Use outcome measures to make HC decisions <ul style="list-style-type: none"> - link HCM Plan to Program Plan(s) and FY06 Budget 	Review Employee Leadership Development Plan <ul style="list-style-type: none"> - Identify employees who have completed certification programs. - Determine future needs for certification program participants and leadership development program 	<p>Skills Gap Analysis chart completed</p> <p>100% of potential candidates briefed on certification programs and employee development programs</p> <p>Budget figure for training activities determined</p>	<p>Skills Gap Analysis chart completed and submitted to ME on Feb. 11</p> <p>Deputy Assistant Secretaries identified all potential candidates.</p> <p>Budget figures for training determined and reported in IDP roll-up.</p>

Quarter 2			
Requirements for HCM Plan	Strategy/Activities	Second Quarter Milestone(s)	Results
	<p>participants.</p> <ul style="list-style-type: none"> - Determine where skills gaps exist. - Develop plan for addressing anticipated skills gaps. <p>Quarterly Progress Reviews For Performance Appraisals</p> <ul style="list-style-type: none"> - Prepare supervisors to discuss participation in certification programs and leadership development programs with employees during quarterly progress reviews for performance appraisals <p>Review IDP Anticipated Training Costs Report</p> <p>Review needed funding allocations for these activities.</p>		

(Appendix A - Scorecard Quarter 2 Results Submission)
EH HCM Plan Cycle

Timeline	Strategy	Activities
July	Strategic Plan review Accountable Officials: <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration 	7. Review and incorporate results and recommendations from EH-3 (Office of Corporate Performance Assessments) performance assessments. 8. Assess progress as measured by strategic indicators in Strategic Plan. 9. Revise objectives and strategies as needed. 10. Ensure strategies are in line with DOE mission, strategy, and goals. 11. Identify human capital needs resulting from new or revised objectives and strategies. 12. Analyze and recommend organizational restructuring to optimize service and cost.
August	Workforce Analysis review Accountable Officials: <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	7. Ensure all strategies are categorized as: <ul style="list-style-type: none"> • Mandated by law or order • Mission Critical • Important to mission completion 8. Re-assess current workforce. <ul style="list-style-type: none"> • Losses • New hires • Projected losses 9. Identify FTEs needed 10. Identify new skills needs and skills gaps 11. Determine strategies for acquiring needed skills and maximizing workforce diversity and efficiency. 12. Contact ME to employ DOE strategies for attracting new hires.
September	Final progress reviews for Performance Appraisals Accountable Officials: <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	7. Determine performance rewards. 8. Identify employees for leadership development candidacy. 9. Review leadership development participants' progress. 10. Review technical qualification candidates' progress. 11. Review technical qualification program participants' continuing education activities and future developmental activities. 12. Identify potential candidates for DOE certification programs.
December	IDPs submitted Accountable Officials: <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	The IDP call goes out in Oct. after performance reviews are complete. Employees complete individual development plans based on discussions with their supervisors regarding improving performance with new skills and knowledge such as leadership skills or special certifications. Information from the IDPs is compiled in the Annual Training Report (ATR). The ATR is used to schedule training activities and determine funding allocations for these

		activities.
Dec/Jan	<p>Succession Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	<p>5. Identify employees who have completed certification programs.</p> <ul style="list-style-type: none"> • Is there minority representation? • What strategies have they been assigned? • Does task and level of responsibility match certification expectations? <p>6. Determine future needs for certification program participants and leadership development program participants.</p> <p>7. Determine where skills gaps exist.</p> <p>8. Develop plan for addressing anticipated skills gaps.</p> <p>5. Prepare accountable officials to discuss participation in certification programs and leadership development programs with employees at quarterly progress reviews for performance appraisals.</p>
February	<p>Quarterly progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	Discuss new performance expectations, if any, based on the succession plan review with employee.
June	<p>Mid-year progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	Accountable officials ensure that employees in certification programs and leadership development programs are progressing as expected.
June	<p>Annual budget models</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration 	Determine human capital budget based on Strategic Plan revisions, Workforce Analysis and Succession Plan recommendations.

(Appendix B - Scorecard Quarter 2 Results Submission)
How EH Supports the DOE Mission and Goals

DOE Mission

The Department of Energy's overarching mission is to advance the national, economic and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex.

The Department has four strategic goals toward achieving the mission:

Defense Strategic Goal: To protect our national security by applying advanced science and nuclear technology to the Nation's defense.

Energy Strategic Goal: To protect our national and economic security by promoting a diverse supply and delivery of reliable, affordable, and environmentally sound energy.

Science Strategic Goal: To protect our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge.

Environment Strategic Goal: To protect the environment by providing a responsible resolution to the environmental legacy of the Cold War and by providing for the permanent disposal of the Nation's high-level radioactive waste.

The commonality between all efforts undertaken by the Department of Energy is an unwavering commitment to the protection of our workers, our nation, and the environment. DOE works diligently to ensure that all programs are performed in a safe, healthful, and environmentally sound manner.

In an effort to guarantee the health and safety of the more than 130,000 employees and Contractors who work for the Department, DOE maintains the Office of Environment, Safety and Health. The mission of this office is to guarantee the safety of our workforce and the safe operation of DOE's programs.

Worker health and safety

The hallmark and highest priority of all DOE activities is daily excellence in the protection of the worker, the public, and the environment. Fundamental to the attainment of this vision are personal commitment, mutual trust, open communications, continuous improvement, and full involvement of all interested parties.

Epidemiology and radiation effects

DOE also supports epidemiologic research on the health effects of radiation exposure among workers involved in the cleanup of nuclear reactors. Studies of workers who received high doses provide the data that help scientists understand dose response relationships and radiation health effects.

Environmental Responsibility

DOE works to instill in all its personnel an instinctive appreciation for their responsibilities in the areas of safety, security, and quality so that those concepts are integral to all environmental programs and activities. Additionally, our mission includes: risk management; quality assurance; package certification; emergency management; and characterization management.

Safety is an integral part of everything DOE does. From facility safety and worker safety to environmental responsibility that safeguards our natural surroundings, all are integrated management practices throughout DOE.

Good Practices in safety management

A major concept of integrated safety management is the integration of safety awareness and good practices into all aspects of work conducted at DOE. Simply stated, work should be conducted in such a manner that protects workers and people, and does not cause harm to the environment.

An important responsibility

Responsibly maintaining worker safety, ensuring the safe use of chemicals, and adhering to technical standards enhances DOE's commitment to nuclear and facility safety.

Subject	Point of Contact	Phone number	E-mail	URL	COP
Beryllium	David Weitzman	301-903-5401	david.weitzman@eh.doe.gov	www.eh.doe.gov/be	x
Chemical Safety	Ron Eimer	301-903-2927	ron.eimer@eh.doe.gov	www.eh.doe.gov/chem_safety	x
Conduct of Operations	Ed Blackwood	301-903-3568	ed.blackwood@eh.doe.gov		
Construction Safety	Pat Finn	301-903-9876	pat.finn@eh.doe.gov	www.eh.doe.gov/nsps/construction.html	x
Criticality Control	Jerry McKamy	301-903-8031	jerry.mckamy@eh.doe.gov	www.eh.doe.gov/nsps/criticality.html	x
Dam Safety	P. K. Niyogi	301-903-2421	pradyot.niyogi@eh.doe.gov		
Earthquake and Natural Phenomena	Subir Sen	301-903-6571	subir.sen@eh.doe.gov		
Electrical Safety	Pat Tran	301-903-5638	pranab.guha@eh.doe.gov	www.eh.doe.gov/nsps/electrical.html	x
Explosives	Gerald Meyers	301-903-3190	gerald.meyers@eh.doe.gov	www.eh.doe.gov/nsps/explosives.html	x
FEOSH	Dave Pergram	301-903-9840	Dave.pergram@eh.doe.gov	www.eh.doe.gov/feosh	x
Fire Protection	Dennis Kubicki	301-903-4794	dennis.kubicki@eh.doe.gov	www.eh.doe.gov/fire	
Firearm Safety	Pat Tran	301-903-5638	pat.tran@eh.doe.gov	www.eh.doe.gov/nsps/firearms.html	x
High Level Waste Tanks	Frank Chen	301-903-6369	frank.chen@eh.doe.gov		
Hosting & Rigging	Pat Finn	301-903-9837	pat.finn@eh.doe.gov	www.eh.doe.gov/nsps/hosting.html	x
Human Performance Improvement	Earl Carnes	301-903-5255	earl.carnes@eh.doe.gov		x
Industrial Hygiene	Nancy Hammond	301-903-1731	nancy.hammond@eh.doe.gov		x
Knowledge Management	Michael Hillman	301-903-3568	michael.hillman@eh.doe.gov		x
Maintenance	Chuck Ramsey	301-903-5999	Charles.ramsey@eh.doe.gov	www.eh.doe.gov/nsps/maintenance.html	x
Mine Safety	Larry McCabe	301-903-6732	larry.mccabe@eh.doe.gov		
Natural Phenomenon Hazards	Harish Chander	301-903-6681	harish.chander@eh.doe.gov	www.eh.doe.gov/nsps/natural_haz.html	
NEPA	Carol Borgstrom	202-586-4600	carol.borgstrom@eh.doe.gov	www.eh.doe.gov/nepa	x
Nuclear Safety	Raymond Hardwick	202-586-9024	raymond.hardwick@eh.doe.gov	www.eh.doe.gov/nsps	

Occupational Medicine	Claudia Beach	301-903-9826	claudia.beach@eh.doe.gov	www.eh.doe.gov/health/services/occ_medicine.html	x
Plutonium	Rowland Felt	301-903-0444	rowland.felt@eh.doe.gov		x
Pollution Prevention	Thomas Traceski	202-586-2481	thomas.traceski@eh.doe.gov	www.eh.doe.gov/p2	x
Quality Assurance	Bud Danielson	301-903-2954	bud.danielson@eh.doe.gov	www.eh.doe.gov/qa	x
Radiation Protection	Joel Rabovsky	301-903-2135	joel.rabovsky@eh.doe.gov	www.eh.doe.gov/radiation	x
Respiratory Protection	Daniel Marsick	301-903-3954	dan.marsick@eh.doe.gov	www.eh.doe.gov/respiratory	x
Risk Assessment	Tony Eng	301-903-4210	tony.eng@eh.doe.gov		
Software Quality Assurance	Chip Lagdon	301-903-4218	chip.lagdon@eh.doe.gov	www.eh.doe.gov/sqa	x
Spent Nuclear Fuel	Sarbes Acharya	301-903-1341	sarbes.acharya@eh.doe.gov		
Toxic/Hazardous Chemicals	Bill McArthur	301-903-9674	bill.mcarthur@eh.doe.gov		
Tritium	William Weaver	301-903-7038	william.weaver@eh.doe.gov		x
UF ₆ /Gaseous Diffusion	Bill Cooper	301-903-3133	bill.cooper@eh.doe.gov		
Uranium	Joel Rabovsky	301-903-2135	joel.rabovsky@eh.doe.gov		
Voluntary Protection Program	David Smith	301-903-4669	david.smith@eh.doe.gov	www.eh.doe.gov/vpp	x

Appendix C

Environmental, Safety and Health Human Capital Management (HCM) Workforce Plan Scorecard Quarter 3 Results Submission

Introduction

The Environment, Safety, & Health (EH) Human Capital Management (HCM) Workforce Plan contains the goals, strategies, and activities needed to ensure that EH has a workforce equipped with the skills and knowledge to carry out EH's highly technical mission and corporate responsibilities and achieve its business vision. This appendix to the EH Human Capital Management (HCM) Workforce Plan of September 2004 provides quarterly progress milestones for each of the HCM requirements stipulated by the Office of Human Capital Management (ME-50).

EH's approach to human capital management is an iterative process in which its Strategic Plan is reviewed annually to ensure progress is being made toward planned goals and that EH activities provide focused support to the DOE mission. Based on revised strategies, the EH Workforce Analysis is updated, identifying skills gaps due to new strategies, skills lost or gained due to staffing losses or new hires and areas lacking in minority representation. With information from the Workforce Analysis in hand, supervisors discuss updated performance expectations with current employees during performance appraisals. The revised performance expectations serve a baseline for updating the EH Succession Plan. These activities comprise the EH HCM Plan Cycle. Many of the quarterly milestones for the EH HCM Plan will be accomplished as the EH HCM Plan Cycle is completed. A copy of the EH HCM Plan Cycle, including elements and activities, is provided at the end of this appendix.

Quarter 3		
Requirements for HCM Plan	Strategy/Activities	Third Quarter Milestone(s)
Integrate HCM Plan into decision-making processes <ul style="list-style-type: none">- Plan linked to DOE mission, strategy, and goals- designates accountable officials	<p>All appropriate EH staff will be briefed by accountability officials on the EH HCM Plan and how to incorporate it into the decision-making processes when doing strategic, program, and workforce planning.</p> <p>A checklist of the EH HCM Plan cycle activities (see Appendix A) will be provided to accountability officials for briefing their staff.</p>	Staff briefings on EH's HCM Plan activities cycle and how to incorporate it in decision making completed.
Results <p>All EH organizations have been using the September 04 Human Capital Management Plan in their decision-making processes when determining the best strategies for obtaining the correct mix of skills and knowledge for carrying out their work. For example, the organizations have:</p> <ul style="list-style-type: none">• Used second quarter skill gap analysis as basis to determine the need for hiring and restructuring of title, grade, and series changes.• Followed the EH Hispanic Employment Plan and utilized the Minorities in Science and Engineering Consortium (established by the Department's Hispanic Employment initiative) in posting vacancy announcements.		

Specific examples of this integrative process include:

EH-2 utilized the 2005 Student Diversity Partnership Program (SDPP) (established by the Department's Hispanic Employment initiative) in selecting one minority female Intern (Hispanic).

EH-3 has a representative on the EH Hispanic Employment Plan work group and utilized the 2005 Student Diversity Partnership Program (SDPP) (established by the Department's Hispanic Employment initiative) in selecting two minority female Interns (one Hispanic and one African American). EH-3 also used first quarter skill gap analysis as basis to determine the need for two hiring actions (both female) one Asian/Pilipino female. EH is also supporting and funding three Office Directors to attend the "Managing Technical Professionals and Organizations" through the Massachusetts Institute of Technology Sloan School of Management.

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
Demonstrate improvement in meeting hiring-time goals <ul style="list-style-type: none"> - have auditable system for collecting & analyzing hiring data 	<p>EH will work with HR to create EH version of OPM 45-Day Hiring Model</p> <p>EH will utilize CHRIS database and SF-52 online tracking system on recruitment actions which result in a hiring action to track status of hiring process for new hires (SES and non-SES) Hiring actions will be reviewed regularly to determine whether the appropriate timelines are being followed. Delay in the process will be documented with the reason why</p> <p>EH will train appropriate staff to enter data into SF-52 online tracking system.</p>	<p>Adapt 45-Day Hiring Model for SES and non-SES positions for EH</p> <p>Enter all current recruitment actions into SF-52.</p> <p>Data entry training completed.</p> <p>Begin tracking of SES recruitment actions currently underway:</p> <ul style="list-style-type: none"> - Deputy Assistant Secretary for Planning and Administration, ES-301 (tentative selection pending OPM approval) - Chief of Nuclear Safety, ES-840 - Chief Medical Officer, GS-602
Results: <p>EH has developed a timeline for hiring SES positions, based on the OPM 45-Day Hiring Model and is currently implementing it. A tentative selection has been made for the DAS for Planning and Administration Position. EH-7 is also currently developing a timeline for hiring non-SES positions and anticipates implementation by the end of Quarter 3. EH has trained appropriate staff for data entry into the SF-52 and anticipates entering data when hiring actions occur for positions currently being recruited: Environmental Protection Specialist (GS-028-13/14), Chief of Nuclear Safety (SES), and Nuclear Safety Engineer, (EK-840).</p>		

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
<p>Significantly reduce skills gaps in mission-critical occupations</p> <ul style="list-style-type: none"> - identify mission-critical skills, needs, no. available, & gaps - address certification needs by level for project managers, contracts, and information technology managers - develop strategies to create workplace that attracts talent - integrate the results of competitive sourcing & e-Gov 	<p>EH will work use three strategies to significantly reduce skills gaps in mission-critical occupations:</p> <ol style="list-style-type: none"> 1) EH will work with ME and EH management to develop achievable programs for attracting talent. 2) Restructure positions from job series which are no longer needed to carry out EH work 3) Recruit for positions which cannot be filled through restructuring actions or other internal personnel actions: <ul style="list-style-type: none"> - Chief of Nuclear Safety (SES) - Nuclear Safety Engineer, (EK-840) - Environmental Protection Specialist <p>Certification needs will be addressed through identification of EH personnel who need re-certification in RAD Worker II & HAZWPR. EH will schedule classes in RAD Worker II & HAZWPR for meeting EH re-certification requirements.</p> <p>EH will revise the Critical Skills Gap Spreadsheet to meet new ME form requirements and correctly identify EH gaps, eliminating duplicate counts in the second quarter spreadsheet</p>	<p>Hold first in on-going series of meetings with ME contact to develop an approach with available funds to attracting talent.</p> <p>Complete recruitment paperwork for positions of</p> <ul style="list-style-type: none"> - Chief of Nuclear Safety (SES) - Nuclear Safety Engineer, (EK-840) - Environmental Protection Specialist - Deputy Assistant Secretary for Planning and Administration, ES-301 (tentative selection pending OPM approval) - Chief of Nuclear Safety, ES-840 - Chief Medical Officer, GS-602 <p>Announcement of Environmental Protection Specialist position by May 20.</p> <p>Class schedule for recertification of EH employees established.</p> <p>Update Critical Skills Gap spreadsheet by June 6, 2005</p>
<p>Results:</p> <p>A meeting was held with ME to discuss strategies for recruitment; these discussions are on-going. The recruitment paperwork for the Environmental Protection Specialist, GS-028-13/14 has been completed; the position announcement opened on 05/20/05. Recruitment actions for three senior level management positions have been initiated:</p> <ul style="list-style-type: none"> - Deputy Assistant Secretary for Planning and Administration, ES-301 (tentative selection for pending OPM approval) - Chief of Nuclear Safety, ES-840 - Chief Medical Officer, GS-602-15 <p>The training sessions for recertification of EH personnel who need re-certification in RAD Worker II & HAZWPR were completed on May 30, 2005. Ten EH employees were recertified.</p> <p>The Critical Skills Gap spreadsheet was updated with milestones in the out quarters for reducing skills gaps through hiring, re-certification, and re-organizing (see attached spreadsheet).</p>		

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
Implement succession strategies <ul style="list-style-type: none"> - include executive development programs - result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge 	<p>EH currently has a qualified leadership talent pool of approximately 18 GS-15 individuals. EH will recruit and select individuals at the GS-13 and 14 levels for the executive development program based on the results of the buyout.</p> <p>Utilize re-grading of positions as a succession planning strategy by adding lower-graded staff members to ensure continuity of function over time.</p>	<p>Presentation to promote executive development program delivered.</p>
Results <p>Two Environmental Protection Specialist positions (GS-14 and GS-15) have been restructured to GS-9/11 and 13/14. Recruitment has been initiated to fill these two positions.</p>		

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
Link Knowledge Management effort to DOE portal	<p>Identify and select a Departmental level initiative and apply Knowledge Management Principles and tools to assist in its successful accomplishment.</p> <p>Utilize the information gained from the development of the 2004-1 Implementation Team Knowledge Portal to build the DOE Assessment Manual Knowledge Portal</p>	<p>Development of 2004-1 Implementation Team Knowledge Portal</p> <p>Initiate the development of the DOE Assessment Manual Knowledge Portal.</p>
Results: <p><u>Knowledge Management Portal:</u> At the request of the 2004-1 Implementation Plan Management team, a Knowledge Management Portal has been developed and implemented. The Portal, (http://www.2004-1.org), is designed to provide a central platform for the sharing of documents, informational materials, tools and processes associated with Implementation Plan activities in response to the Defense Nuclear Facilities Safety Board Recommendation 2004-1, <i>Oversight of Complex, High-Hazard Nuclear Operations</i>. Through the use of the Portal, the 2004-1 Implementation Team is furthering the President's Management Agenda Human Capital goal to use Knowledge Management tools and processes to improve government efficiency.</p> <p><u>DOE Assessment Manual Knowledge Portal:</u> In addition to the 2004-1 Knowledge Portal, EH is also applying Knowledge Management principles to accomplish individual 2004-1 tasks. In the third quarter of 2005, the development of the DOE Assessment Manual Knowledge Portal was initiated. By the end of the fourth quarter of 2005, a process will be set up to utilize individual topical communities of interest to identify existing knowledge resources with the</p>		

Department, capture relevant knowledge, and document that knowledge in topical assessment guides. Once documented, identified and captured, that knowledge will be made available via a single internet gate way for use by DOE personnel across the complex. The portal is anticipated to be online in the summer of 2006. In addition to addressing a long standing DNFSB issue on the effectiveness of DOE oversight process, the DOE Assessment Manual Knowledge Portal will eliminate the need for costly, duplicative, and often out of date assessment manuals, improve the consistency of DOE assessment across the complex, and enhance facility and worker safety by providing users a means to access in real-time, the very latest mission critical knowledge of DOE. As such, the Portal will enhance the efficiency and effectiveness of day-to-day tasks of individual users by eliminating the need for them to hunt down information needed to perform their day-to-day tasks. Like the 2004-1 Portal, the DOE Assessment Manual Knowledge Portal will be designed to be easily updated and maintained by Community of Interest subject matter experts, thereby eliminating the need for costly IT consulting support.

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
Implement strategies to address under-representation of minorities <ul style="list-style-type: none"> - particularly in mission-critical occupations & leadership - establish processes to improve and sustain diversity 	<p>EH will review qualification requirements of minority applicants for critical occupations currently under-represented</p> <p>EH will identify minority candidates enrolled in Technical Leadership Development Program</p> <p>EH will review CHRIS employee data to identify potential participant pool; focus on candidates' knowledge and experience gaps</p>	<p>Participants complete competency statements related to office of assignment</p> <p>Approve Individual Development Plans</p> <p>Participants begin rotational assignments</p> <p>Hire qualified minority for environmental specialist position</p> <p>Hire minority interns for administrative positions</p>
Results <p>All competency statements are completed, IDPs have been submitted and rotational assignments have been made for all candidates in the Technical Leadership Development Program. All candidates have begun their rotational assignments. Recruitment of one qualified minority candidate for a journey level environmental specialist position has been initiated. One Native American, one Hispanic, and one African American intern have been selected for administrative positions. A white female Program Analyst has been hired in EH-5. A female has been hired in EH-2 in a secretarial position.</p>		

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
Analyze & optimize organizational structures for service and cost <ul style="list-style-type: none"> - use redeployment & de-layering as necessary - integrate 	<p>EH will reclassification and restructuring of positions based on retirements and forecasted workloads, which have created a need for new skill mixes for some offices.</p> <p>EH will offer a buyout to those position series which are no longer needed to support EH work.</p>	<p>Positions eligible for buyout identified and documented by EH management.</p> <p>Buyout approved by EH and ME.</p> <p>Redeployment of former Worker Advocacy staff to different parts of the EH organization.</p>

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
competitive sourcing & e-Gov solutions - put processes in place to address future needs for change	EH will continue to transition Worker Advocacy staff and assist them in qualifying for new job series through detail assignments.	
Results Due to the transfer of the Worker Advocacy Program to the Department of Labor, eight former EH Worker Advocacy employees have been detailed to other EH offices: An office director and a program analyst have been detailed to the Office of Corporate Performance Assessment <ul style="list-style-type: none"> • A medical officer, a program analyst, and a program specialist have been detailed to the Office of Health • A field operations coordinator and a program manager have been detailed to the Office of Environment • A secretary has been detailed to the Office of Associate Deputy Assistant Secretary of Energy These details have had two positive results: 1) needed skills have been supplied to these three offices through internal personnel actions, thus avoiding the cost of recruiting and hiring to fill these positions, and 2) the financial costs associated with terminating employees has been avoided. EH management has identified a total of 27 technical positions to be restructured to lower pay grades and different job series due to shifting skill mix needs and forecasted workloads. Using a buyout authorization and re-grading of positions will result in significant cost-savings.		

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the EH workforce - differentiate between various levels of performance	EH will train appropriate EH personnel in performance review and appraisal process and procedures EH supervisors will carry out mid-year progress reviews for Performance Appraisals EH supervisors will ensure that employees in certification programs and leadership development programs are progressing as expected.	Training of EH supervisors Mid-year progress reviews documented. Progress issues documented and discussed with employees.

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
- provide consequences based on performance		
Results EH has established training sessions for EH supervisors in performance review and appraisal requirements and procedures. The mid-year progress reviews have been completed and performance/progress issues have been documented and discussed with employees.		

Quarter 3		
Requirements for HCM Plan	Requirements for HCM Plan	Requirements for HCM Plan
Use outcome measures to make HC decisions - link HCM Plan to Program Plan(s) and FY06 Budget	EH will identify program goals, objectives, and milestones identified in the EH Strategic Plan and identify the human capital resources needed to carry out EH's work. EH will compile a list of personnel actions needed to obtain the correct mix of skills for carrying out EH's work, including buyouts, recruitment activities, hiring, and internal personnel shifts.	Complete crosswalk between program goals, objectives and milestones and the EH Human Capital Management Plan List of resources and needed staff with cost estimates compiled. List of staff positions no longer needed and cost associated with eliminating those positions through buyout. Documentation of personnel costs in offices' lines in EH CRB for '07.
Results As a policy and guidance organization, EH does not have a Program Plan and therefore has no specific GPRA or outcome measures. However, EH does utilize its HCM plan in the development of its budgetary submissions. Some examples include: <ul style="list-style-type: none"> EH-2 and EH-3 integrated information from the skills gap analysis conducted in the second quarter of FY 2005 into the FY 2007 budget request for Program Direction funding that was formulated in the third quarter of FY 2005. Integrated information from its skills gap analysis conducted in the second quarter of FY 2005 into the EH-3 FY 2007 budget request for Program Direction funding (to include 7 FTEs for the Nuclear Safety Research function) that was formulated in the third quarter of FY 2005. For FY06, EH has compiled the list of positions to be included in the buyout and submitted it for approval. Once approval has been granted, the EH FY 06 Budget request and the FY 2007 Corporate Review Budget Request will be submitted to DOE Chief Financial Officer.		

(Appendix A - Scorecard Quarter 3 Results Submission)
EH HCM Plan Cycle

Timeline	Strategy	Activities
July	Strategic Plan review Accountable Officials: <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration 	<ol style="list-style-type: none"> 1. Review and incorporate results and recommendations from EH-3 (Office of Corporate Performance Assessments) performance assessments. 2. Assess progress as measured by strategic indicators in Strategic Plan. 3. Revise objectives and strategies as needed. 4. Ensure strategies are in line with DOE mission, strategy, and goals. 5. Identify human capital needs resulting from new or revised objectives and strategies. 6. Analyze and recommend organizational restructuring to optimize service and cost.
August	Workforce Analysis review Accountable Officials: <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Ensure all strategies are categorized as: <ul style="list-style-type: none"> • Mandated by law or order • Mission Critical • Important to mission completion 2. Re-assess current workforce. <ul style="list-style-type: none"> • Losses • New hires • Projected losses • Identify FTEs needed • Identify new skills needs and skills gaps 3. Determine strategies for acquiring needed skills and maximizing workforce diversity and efficiency. 4. Contact ME to employ DOE strategies for attracting new hires.
September	Final progress reviews for Performance Appraisals Accountable Officials: <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Determine performance rewards. 2. Identify employees for leadership development candidacy. 3. Review leadership development participants' progress. 4. Review technical qualification candidates' progress. 5. Review technical qualification program participants' continuing education activities and future developmental activities. 6. Identify potential candidates for DOE certification programs.
December	IDPs submitted Accountable Officials: <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<p>The IDP call goes out in Oct. after performance reviews are complete.</p> <p>Employees complete individual development plans based on discussions with their supervisors regarding improving performance with new skills and knowledge such as leadership skills or special certifications.</p> <p>Information from the IDPs is compiled in the Annual Training Report (ATR). The ATR is used to schedule training activities and</p>

		determine funding allocations for these activities.
Dec/Jan	<p>Succession Plan review</p> <p>Accountability Officials:</p> <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Identify employees who have completed certification programs. <ul style="list-style-type: none"> • Is there minority representation? • What strategies have they been assigned? • Does task and level of responsibility match certification expectations? 2. Determine future needs for certification program participants and leadership development program participants. 3. Determine where skills gaps exist. 4. Develop plan for addressing anticipated skills gaps. 5. Prepare accountability officials to discuss participation in certification programs and leadership development programs with employees at quarterly progress reviews for performance appraisals.
February	<p>Quarterly progress reviews for Performance Appraisals</p> <p>Accountability Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	Discuss new performance expectations, if any, based on the succession plan review with employee.
June	<p>Mid-year progress reviews for Performance Appraisals</p> <p>Accountability Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	Accountable officials ensure that employees in certification programs and leadership development programs are progressing as expected.
June	<p>Annual budget models</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration 	Determine human capital budget based on Strategic Plan revisions, Workforce Analysis and Succession Plan recommendations.

(Appendix B - Scorecard Quarter 3 Results Submission)
How EH Supports the DOE Mission and Goals

DOE Mission

The Department of Energy's overarching mission is to advance the national, economic and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex.

The Department has four strategic goals toward achieving the mission:

Defense Strategic Goal: To protect our national security by applying advanced science and nuclear technology to the Nation's defense.

Energy Strategic Goal: To protect our national and economic security by promoting a diverse supply and delivery of reliable, affordable, and environmentally sound energy.

Science Strategic Goal: To protect our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge.

Environment Strategic Goal: To protect the environment by providing a responsible resolution to the environmental legacy of the Cold War and by providing for the permanent disposal of the Nation's high-level radioactive waste.

The commonality between all efforts undertaken by the Department of Energy is an unwavering commitment to the protection of our workers, our nation, and the environment. DOE works diligently to ensure that all programs are performed in a safe, healthful, and environmentally sound manner.

In an effort to guarantee the health and safety of the more than 130,000 employees and Contractors who work for the Department, DOE maintains the Office of Environment, Safety and Health. The mission of this office is to guarantee the safety of our workforce and the safe operation of DOE's programs.

Worker health and safety

The hallmark and highest priority of all DOE activities is daily excellence in the protection of the worker, the public, and the environment. Fundamental to the attainment of this vision are personal commitment, mutual trust, open communications, continuous improvement, and full involvement of all interested parties.

Epidemiology and radiation effects

DOE also supports epidemiologic research on the health effects of radiation exposure among workers involved in the cleanup of nuclear reactors. Studies of workers who received high doses provide the data that help scientists understand dose response relationships and radiation health effects.

Environmental Responsibility

DOE works to instill in all its personnel an instinctive appreciation for their responsibilities in the areas of safety, security, and quality so that those concepts are integral to all environmental programs and activities. Additionally, our mission includes: risk management; quality assurance; package certification; emergency management; and characterization management.

Safety is an integral part of everything DOE does. From facility safety and worker safety to environmental responsibility that safeguards our natural surroundings, all are integrated management practices throughout DOE.

Good Practices in safety management

A major concept of integrated safety management is the integration of safety awareness and good practices into all aspects of work conducted at DOE. Simply stated, work should be conducted in such a manner that protects workers and people, and does not cause harm to the environment.

An important responsibility

Responsibly maintaining worker safety, ensuring the safe use of chemicals, and adhering to technical standards enhances DOE's commitment to nuclear and facility safety.

Appendix D:

Environmental, Safety and Health Human Capital Management Work Force Plan Scorecard Quarter 4 Results Submission

Introduction

The Environment, Safety, & Health (EH) Human Capital Management (HCM) Workforce Plan contains the goals, strategies, and activities needed to ensure that EH has a workforce equipped with the skills and knowledge to carry out EH's highly technical mission and corporate responsibilities and achieve its business vision. This appendix to the EH Human Capital Management (HCM) Workforce Plan of September 2004 provides quarterly progress milestones for each of the HCM requirements stipulated by the Office of Human Capital Management (ME-50).

EH's approach to human capital management is an iterative process in which its Strategic Plan is reviewed annually to ensure progress is being made toward planned goals and that EH activities provide focused support to the DOE mission. Based on revised strategies, the EH Workforce Analysis is updated, identifying skills gaps due to new strategies, skills lost or gained due to staffing losses or new hires and areas lacking in minority representation. With information from the Workforce Analysis in hand, supervisors discuss updated performance expectations with current employees during performance appraisals. The revised performance expectations serve a baseline for updating the EH Succession Plan. These activities comprise the EH HCM Plan Cycle. Many of the quarterly milestones for the EH HCM Plan will be accomplished as the EH HCM Plan Cycle is completed. A copy of the EH HCM Plan Cycle, including elements and activities, is provided at the end of this appendix.

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
Integrate HCM Plan into decision-making processes <ul style="list-style-type: none">- Plan linked to DOE mission, strategy, and goals- designates- accountable officials	Continue to provide staff briefings on a regular basis or as needed based on circumstances	<ul style="list-style-type: none">- Quarterly meetings of supervisors with staff to discuss HCM issues will continue to be held. More frequent meetings will be held as needed in response to issues that arise during fiscal year 2006.- New accountable officials will be trained as needed to replace accountability officials who retire or resign from EH.
Results: Supervisors met with staff to talk about human capital management (HCM) issues related to workforce requirements needed for meeting the DOE mission each quarter of fiscal year 2005.		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
Demonstrate improvement in meeting hiring-time goals <ul style="list-style-type: none"> - have auditable system for collecting & analyzing hiring data 	Track current hiring actions using SF-52 Tracking System	45-Day Hiring Model for SES and non-SES positions for EH with staff trained to utilize the SF-52 Tracking System and the following positions are entered into the system: <ul style="list-style-type: none"> - Budget Analyst, GS-560 14/15 - Director, Office of Nuclear Safety Research, ES-840-00 - Environmental Protection Specialist, GS-028 13/14 - General Engineer, GS-801-14/15 - Health System Specialist, GS-671-14/15 - Management Analyst, GS-343-14 - Medical Officer, GS-602-15 - Program Analyst, GS343 - Program Analyst, GS-343-12/13 - Safety & Occupational Health Manager, GS-018-15 - Secretary, GS-318-8 - Sr.Nuclear Safety Engineer, EK-840-V - Sr.Nuclear Safety Research Advisor, EK-801-V - Supervisory Health System Administrator, GS-670-15 - Supervisory Management Analyst, GS-343-15
Results: EH will continue to monitor the hiring process using the SF-52 Tracking System and identify areas for improvement. EH has trained appropriate staff for data entry into the SF-52 Tracking System and anticipates entering data when hiring actions occur for positions currently being recruited: Environmental Protection Specialist (GS-028-13/14), Chief of Nuclear Safety (SES), and Nuclear Safety Engineer, (EK-840).		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
Significantly reduce skills gaps in mission-critical occupations <ul style="list-style-type: none"> - identify mission-critical skills, needs, no. available, & gaps - address certification needs by level for project managers, contract, and information technology managers - develop strategies to create workplace that attracts talent - integrate the results of competitive sourcing & e-Gov 	Update skill gaps spreadsheet being based on the re-certification, reorganizing & hiring of personnel and develop plan to address the filling of skill gaps	<p>Results: Critical skill gap spreadsheet attached</p> <p>EH continues to address critical skills mix and mission objectives gaps through the use of buyout and early retirement authority. EH is requesting earlyout/buyout authority in FY 2006. These measures all met the objective of the PMA by reducing the number of SES (2), reducing management layers (elimination of Team Leader positions) and improving spans of control. Once approval has been granted, the Office of Environment, Safety & Health (EH) FY-06 Human Capital Management Plan will reflect that EH management has identified a total of 27 technical positions to be restructured to lower graded positions and different job series due to shifting skill mix needs and forecasted workloads. Utilizing a buyout authorization and the re-grading of positions will result in significant cost-savings, and reflect succession planning.</p>
Results: The Critical Skills Gap spreadsheet was updated with milestones in the out quarters for reducing skills gaps through hiring, re-certification, and re-organizing (see attached spreadsheet).		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
Implement succession strategies <ul style="list-style-type: none"> - include executive development programs - result in leadership talent pool, continuously updated to assure continuity of leadership and knowledge 	<p>EH currently has a qualified leadership talent pool of approximately 18 GS-15 individuals. EH will recruit and select individuals at the GS-13 and 14 levels for the executive development program based on the results of the buyout.</p> <p>Utilize re-grading of positions as a succession planning strategy by adding lower graded staff members to ensure continuity of function over time.</p>	Supervisors will continue to provide information and encouragement to eligible GS-13 and 14 staff to enroll in the DOE executive development programs for the executive positions identified in the bench strength report as needing to be filled.
Results Bench strength report submitted to ME identifying areas in which executive development is needed.		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
Link Knowledge Management effort to DOE portal	Continue to enhance EH Knowledge Management Portal and develop Assessment Manual Portal	Initiate the DOE Assessment Manual Knowledge Portal.
Results: <u>DOE Assessment Manual Knowledge Portal:</u> In addition to the 2004-1 Knowledge Portal, EH is also applying Knowledge Management principles to accomplish individual 2004-1 tasks. DNFSB commitment 2004-1, Oversight of Complex, High-Hazard Nuclear Operations requires DOE to develop an Oversight Manual for use by DOE personal across the complex. A critical element in the manual will be the recommend assessment criteria and review approach guidance (CRADs). In order to insure that personal utilizing the manual benefit from the years of assessment experience and knowledge of DOE personal, individual functional area CRADs will be developed and maintained by their respective Communities of Practice. The manual and its individual CRADs will be available on a new ES&H Assessment Manual Knowledge Portal. In the 4 th Quarter of 2005, the development of the DOE Assessment Manual Knowledge Portal was initiated. By the end of the 4 th quarter of 2005, a process will be set up to utilize individual topical communities of interest to identify existing knowledge resources with the Department, capture relevant tacit knowledge, and document that knowledge in topical assessment guides. Once documented, identified and captured, that knowledge will be made available via a single internet gate way for use by DOE personal across the complex. The portal is anticipated to be online in the summer of 2006. In addition to addressing a long standing DNFSB issue on the effectiveness of DOE oversight process, the DOE Assessment Manual Knowledge Portal will eliminate the need for costly, duplicative, and often out of date assessment manuals, improve the consistency of DOE assessment across the complex, and enhance facility and worker safety by providing users a means to access in real-time, the very latest mission critical knowledge of DOE. As such, the Portal well enhance the efficiency and effectiveness on day-to-day tasks of individual users by eliminating the need for them to hunt		

down information needed to perform their day-to-day tasks. Like the 2004-1 Portal, the DOE Assessment Manual Knowledge Portal will be designed to be easily updated and maintained by Community of Interest subject matter experts, thereby eliminating the need for costly IT consulting support.

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
Implement strategies to address under-representation of minorities <ul style="list-style-type: none"> - particularly in mission-critical occupations & leadership - establish processes to improve and sustain diversity 	Identify and select minority interns; recruit minority candidates for rotational assignments for The Leadership Development Program.	
Results There are three candidates for FY 06 for The Leadership Development Program.		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
Analyze & optimize organizational structures for service and cost <ul style="list-style-type: none"> - use redeployment & de-layering as necessary - integrate competitive sourcing & e-Gov solutions - put processes in place to address future needs for change 	Continue to process VERA and VSIP actions; provide re-training as needed to reassigned employees	EH will continue to use competitive sources, e-Government solutions, reassignment and restructuring of positions as needed to fulfill mission requirements while remaining within budgetary constraints.
Results Due to a Transfer of Function of the Office of Worker Advocacy responsibilities to the Department of Labor, EH was able to save a total of \$627,397 by reassigning/ realigning eight employees from the Office		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
<p>of Worker Advocacy to other offices within EH and by avoiding a Reduction in Force (RIF).</p> <p>EH management has identified a total of 27 technical positions to be restructured to lower pay grades and different job series due to shifting skill mix needs and forecasted workloads. Utilizing a buyout authorization and re-grading of positions will result in significant cost-savings.</p>		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
<p>Link performance appraisal plans and awards to DOE mission and goals for SES, managers, and more than 60% of the EH workforce</p> <ul style="list-style-type: none"> - differentiate between various levels of performance - provide consequences based on performance 	Complete final performance reviews and individual development plans on schedule	<p>Mid-year reviews completed and performance/progress issues documented and discussed.</p> <p>All 21 EH supervisors were trained on the new performance management system for non-supervisory employees.</p> <p>EH will continue to train new or replacement supervisors on the new performance management system as needed.</p>
<p>Results</p> <p>EH has established training sessions for EH supervisors in performance review and appraisal requirements and procedures.</p> <p>The year end progress reviews are in the process of being completed and performance/progress issues have been documented and discussed with employees.</p>		

Quarter 4		
Requirements for HCM Plan	Strategy/Activities	4th Quarter Milestone(s)
<p>Use outcome measures to make HC decisions</p> <ul style="list-style-type: none"> - link HCM Plan to Program Plan(s) and FY07 Budget 	Continue to use skills gaps analysis, organizational restructuring, and training needs to develop FY07 funding request.	<p>Strategies listed as a part of the HCM Plan and information from skill gaps analysis used to justify Program Direction funding request.</p> <p>The FY06 budget was submitted on February 1, 2005 based on decision of the Office of Management and Budget.</p> <p>Projection for FY06: The EH strategic plan and workforce analysis</p>

		documents will be reviewed and a budget request developed based on that review.
Results For FY06, EH has compiled the list of positions to be included in the buyout and submitted it for approval. Once approval has been granted, the EH FY 06 Budget request and the FY 2007 Corporate Review Budget get Request will be submitted to DOE Chief Financial Officer.		

(Appendix A - Scorecard Quarter 4 Results Submission)
EH HCM Plan Cycle

Timeline	Strategy	Activities
September	<p>Final progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Determine performance rewards. 2. Identify employees for leadership development candidacy. 3. Review leadership development participants' progress. 4. Review technical qualification candidates' progress. 5. Review technical qualification program participants' continuing education activities and future developmental activities. 6. Identify potential candidates for DOE certification programs.
Dec/Jan	<p>Succession Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Identify employees who have completed certification programs. <ul style="list-style-type: none"> • Is there minority representation? • What strategies have they been assigned? • Does task and level of responsibility match certification expectations? 2. Determine future needs for certification program participants and leadership development program participants. 3. Determine where skills gaps exist. 4. Develop plan for addressing anticipated skills gaps. 5. Prepare accountability officials to discuss participation in certification programs and leadership development programs with employees at quarterly progress reviews for performance appraisals.
February	<p>Quarterly progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<p>Discuss new performance expectations, if any, based on the succession plan review with employee.</p>
June	<p>Mid-year progress reviews for Performance Appraisals</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<p>Accountable officials ensure that employees in certification programs and leadership development programs are progressing as expected.</p>
June	<p>Annual budget models</p> <p>Accountability Officials:</p> <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning 	<p>Determine human capital budget based on Strategic Plan revisions, Workforce Analysis and Succession Plan recommendations.</p>

	and Administration	
July	<p>Strategic Plan review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Assistant Secretary • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration 	<ol style="list-style-type: none"> 1. Review and incorporate results and recommendations from EH-3 (Office of Corporate Performance Assessments) performance assessments. 2. Assess progress as measured by strategic indicators in Strategic Plan. 3. Revise objectives and strategies as needed. Ensure strategies are in line with DOE mission, strategy, and goals. 4. Identify human capital needs resulting from new or revised objectives and strategies. 5. Analyze and recommend organizational restructuring to optimize service and cost.
August	<p>Workforce Analysis review</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Deputy Assistant Secretaries • Director, Office of Planning and Administration • EH Human Resources Manager 	<ol style="list-style-type: none"> 1. Ensure all strategies are categorized as: <ul style="list-style-type: none"> • Mandated by law or order • Mission Critical • Important to mission completion 2. Re-assess current workforce. <ul style="list-style-type: none"> • Losses • New hires • Projected losses 3. Identify FTEs needed 4. Identify new skills needs and skills gaps 5. Determine strategies for acquiring needed skills and maximizing workforce diversity and efficiency. 6. Contact ME to employ DOE strategies for attracting new hires.
	<p>IDPs submitted</p> <p>Accountable Officials:</p> <ul style="list-style-type: none"> • EH Supervisors • EH Employees • EH Human Resources Manager 	<p>The IDP call goes out in July—before performance reviews are complete. Employees complete individual development plans based on discussions with their supervisors regarding improving performance with new skills and knowledge such as leadership skills or special certifications. Information from the IDPs is compiled in the Annual Training Report (ATR). The ATR is used to schedule training activities and determine funding allocations for these activities.</p>

(Appendix B - Scorecard Quarter 4 Results Submission)
How EH Supports the DOE Mission and Goals

DOE Mission

The Department of Energy's overarching mission is to advance the national, economic and energy security of the United States; to promote scientific and technological innovation in support of that mission; and to ensure the environmental cleanup of the national nuclear weapons complex.

The Department has four strategic goals toward achieving the mission:

Defense Strategic Goal: To protect our national security by applying advanced science and nuclear technology to the Nation's defense.

Energy Strategic Goal: To protect our national and economic security by promoting a diverse supply and delivery of reliable, affordable, and environmentally sound energy.

Science Strategic Goal: To protect our national and economic security by providing world-class scientific research capacity and advancing scientific knowledge.

Environment Strategic Goal: To protect the environment by providing a responsible resolution to the environmental legacy of the Cold War and by providing for the permanent disposal of the Nation's high-level radioactive waste.

The commonality between all efforts undertaken by the Department of Energy is an unwavering commitment to the protection of our workers, our nation, and the environment. DOE works diligently to ensure that all programs are performed in a safe, healthful, and environmentally sound manner.

In an effort to guarantee the health and safety of the more than 130,000 employees and Contractors who work for the Department, DOE maintains the Office of Environment, Safety and Health. The mission of this office is to guarantee the safety of our workforce and the safe operation of DOE's programs.

Worker health and safety

The hallmark and highest priority of all DOE activities is daily excellence in the protection of the worker, the public, and the environment. Fundamental to the attainment of this vision are personal commitment, mutual trust, open communications, continuous improvement, and full involvement of all interested parties.

Epidemiology and radiation effects

DOE also supports epidemiologic research on the health effects of radiation exposure among workers involved in the cleanup of nuclear reactors. Studies of workers who received high doses provide the data that help scientists understand dose response relationships and radiation health effects.

Environmental Responsibility

DOE works to instill in all its personnel an instinctive appreciation for their responsibilities in the areas of safety, security, and quality so that those concepts are integral to all environmental programs and activities. Additionally, our mission includes: risk management; quality assurance; package certification; emergency management; and characterization management.

Safety is an integral part of everything DOE does. From facility safety and worker safety to environmental responsibility that safeguards our natural surroundings, all are integrated management practices throughout DOE.

Good Practices in safety management

A major concept of integrated safety management is the integration of safety awareness and good practices into all aspects of work conducted at DOE. Simply stated, work should be conducted in such a manner that protects workers and people, and does not cause harm to the environment.

An important responsibility

Responsibly maintaining worker safety, ensuring the safe use of chemicals, and adhering to technical standards enhances DOE's commitment to nuclear and facility safety.